

EXHIBIT I



3506 Margin

+ U.S. Trade

003037

ACCOUNT APPLICATION
(Individual Account)

開戶申請表
(個人帳戶)

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客戶服務熱線 : (852) 2822 5001
網址 : www.shkf.com

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3506 + IB margin
(IS margin)

Note: This is an important document. You (the "Applicant") should carefully read and fully understand the contents of this Account Application and depending on the account(s) and the services (if applicable) chosen by you immediately below, the attached Client Agreement(s) and Schedules and Appendix(ices) (if any) and Supplement(s) (if any) thereto (collectively "Client Agreement") in respect of SHKIS, SHKCOM, SHKB, SHKFX and/or SHKOS (as defined below) and where appropriate, the Terms and Conditions of OTC Swap Transactions (Individuals) ("OTC Swap T&Cs (Individuals)"), the OTC Swap Account Annex and the Application for Electronic Services (as defined in Clause (14) of Section G) as well as other related documents as specified by the SHK Company (as defined below). The foregoing documents are together hereinafter referred to as the "Documents". In this Account Application, "SHK Group" means the group of companies comprising SHKIS, SHKCOM, SHKB, SHKFX and SHKOS together with Sun Hung Kai Financial Limited ("SHKFL") and SHKFL's subsidiaries and associated companies and "SHK Company" means the company(ies) of SHK Group to which this Account Application is submitted in relation to the account(s) and the services (if applicable) chosen by the Applicant immediately below. Before signing the Documents, the Applicant should first seek independent legal and other professional advice as necessary. In case of discrepancies between the English and Chinese versions of this Account Application, the English version shall prevail.

註：此乃重要文件。閣下（即「申請人」）應仔細閱讀並充份理解本開戶申請表及依據閣下以下所選擇之一個或多個帳戶及服務（若適用）而隨本文件附上有關新鴻基投資、新鴻基期貨、新鴻基金業、新鴻基外匯及／或新鴻基科網（視見下）之客戶協議及其／其等附件及附錄（若有）及補充（若有）（統稱「客戶協議」）及當適用、場外掉期交易之條款及細則（個人）（「場外掉期條款及細則（個人）」）、「場外掉期帳戶附件」及電子服務申請書（釋義按G項第(14)條）以及新鴻基公司（釋義見下）不時指定的其他相關文件。上述文件以下統稱為「文件」。於本開戶申請表，「新鴻基集團」指包括新鴻基投資、新鴻基期貨、新鴻基金業、新鴻基外匯及新鴻基科網，連同新鴻基金融有限公司（「新鴻基金融」）及其附屬公司及相關公司等集團成員公司；同時，「新鴻基公司」指相對於申請人以下所選擇之一個或多個帳戶及服務（若適用）而將本開戶申請表向其／其等呈交之一間或多間新鴻基集團的公司。申請人在簽署文件前，必須徵求獨立法律及（如需要）其他專業意見。倘若本開戶申請表的中英文本有任何歧異，概以英文本為準。

To SHK Company: Please open and maintain the following type(s) of non-discretionary individual account(s) ("Account").

(Please see Clause (1) of Section G of this Account Application):

致新鴻基公司：請開設及維持以下非全權代客買賣個人帳戶（「帳戶」）（請參閱本開戶申請表G項第(1)條）：

(Please check the appropriate box(es) 請選擇合適者)

COMPANY 公司	TYPE OF ACCOUNT 帳戶種類	ELECTRONIC & OTHER SERVICES 電子及其他服務
<input checked="" type="checkbox"/> Sun Hung Kai Investment Services Limited ("SHKIS") 新鴻基投資服務有限公司（「新鴻基投資」） (CE Number 中央編號：AAC153)	<input type="checkbox"/> Cash Securities Trading Account(s) 現金證券交易帳戶	<input checked="" type="checkbox"/> Online U.S. securities trading services 網上美股買賣服務
	<input checked="" type="checkbox"/> Margin Securities Trading Account(s) 孖展證券交易帳戶	<input checked="" type="checkbox"/> Online H.K. securities trading services 網上港股買賣服務
	<input type="checkbox"/> Stock Options Trading Account(s) 股票期權交易帳戶	<input type="checkbox"/> Instruction of fund transfer and stock trading through IVRS (interactive voice response system) 經音頻電話系統指示現金轉帳及股票買賣之服務
	<input type="checkbox"/> Collective Investment Account(s) 集合投資帳戶	<input type="checkbox"/> Online stock options trading services 網上股票期權買賣服務
	<input type="checkbox"/> OTC Swap Account(s)* 場外掉期帳戶*	
<input type="checkbox"/> Sun Hung Kai Commodities Limited ("SHKCOM") 新鴻基期貨有限公司（「新鴻基期貨」） (CE Number 中央編號：AAF237)	<input type="checkbox"/> Commodities Trading Account(s) 期貨交易帳戶	<input type="checkbox"/> Online futures trading services 網上期貨買賣服務
<input type="checkbox"/> Sun Hung Kai Bullion Company Limited ("SHKB") 新鴻基金業有限公司（「新鴻基金業」）	<input type="checkbox"/> Bullion Trading Account(s) 黃金交易帳戶	<input type="checkbox"/> Online bullion trading services 網上黃金買賣服務
<input type="checkbox"/> Sun Hung Kai Forex Limited ("SHKFX") 新鴻基外匯有限公司（「新鴻基外匯」） (CE Number 中央編號：AC1995)	<input type="checkbox"/> Leveraged Foreign Exchange Trading Account(s) 槓桿式外匯交易帳戶	<input type="checkbox"/> Online leveraged foreign exchange trading services – Web-based version 網上槓桿式外匯交易買賣服務 – 網頁版
	<input type="checkbox"/> Global Payment Account(s) – Spot FX 環球付款帳戶 – 現貨外匯	<input type="checkbox"/> Online leveraged foreign exchange trading services – Download version 網上槓桿式外匯交易買賣服務 – 下載版
	<input type="checkbox"/> Global Payment Account(s) – Forward FX 環球付款帳戶 – 遠期外匯	<input type="checkbox"/> Online spot money exchange and remittance services 網上現貨外匯兌換及匯款服務
<input type="checkbox"/> SHK Online (Securities) Limited ("SHKOS") 新鴻基科網（證券）有限公司（「新鴻基科網」） (CE Number 中央編號：AAC483)	<input type="checkbox"/> Cash Securities Trading Account(s) 現金證券交易帳戶	(With online H.K. securities trading services & instruction of stock trading through IVRS 附設網上港股買賣服務及經音頻電話系統指示股票買賣之服務)
	<input type="checkbox"/> Margin Securities Trading Account(s) 孖展證券交易帳戶	
	<input type="checkbox"/> Stock Options Trading Account(s) 股票期權交易帳戶	<input type="checkbox"/> With online stock options trading services 附設網上股票期權買賣服務

* Please complete the OTC Swap Account Annex.
* 請填寫「場外掉期帳戶附件」

FOR EXISTING CLIENT USE ONLY 只供現有客戶使用

- (1) Account No. 帳戶號碼: 3255
- (2) Does the Applicant confirm that his/her personal data have not been changed and give consent to use the personal information maintained in existing account(s) (with account no. mentioned above) for this account opening application? (If yes, please skip Section A question 3 - 14)
申請人是否確認他/她的個人資料沒有更改，並同意使用上述現有帳戶的個人資料以作本開戶申請用途？（如是，請跳過A項問題3 - 14）
- ☐ Yes 是 ☒ No 否

Personal Information 個人資料

- (1) Name (in English): Mr/Mrs/Miss/Ms* Surname: LAI 黎 Given Name: SEU CHENG 素晶
姓名(中文): 先生/太太/小姐/女士* 姓 名
* Please delete as appropriate 請刪去不適用者
- (2) Date of Birth: 11/9/69 Nationality: CHINESE Identity Card or Passport No.: [REDACTED]
出生日期 DD(日) MM(月) YYYY(年) 國籍 身份證或護照號碼
- Identity Document Type: ☐ HKID 香港身份證 ☐ CNID 中國身份證 ☒ Macau ID 澳門身份證 ☐ Passport 護照 ☐ Others (Please specify): _____
身份證文件類別
- (3) Marital Status: ☐ Single 未婚 ☒ Married with child(ren) 已婚有子女 ☐ Married without child 已婚未有子女 ☐ Others 其他
婚姻狀況
- (4) Education Level: ☐ Primary 小學 ☒ Secondary 中學 ☐ Post secondary 預科/專上學院 ☐ University or above 大學或以上
學歷
- (5) Residential Address 住址: (Please provide address proof within the recent 3 months 請提供最近3個月的地址證明)
- C112 美景園 40 澳門氹仔
Flat 室 Floor 樓數 Block 座數 House 樓/Building 大廈 Estate 屋苑/Garden 花園
No. and Name of Street 門牌號碼及街道名稱 District 分區/Area 地區 Country 國家
- Nature of Occupancy 住宅類別:
☒ Owned 自置 ☐ Rented 租用 ☐ Family property 家人物業 ☐ Quarter 宿舍
☐ Others (Please specify) 其他 (請說明): _____
- (6) Permanent Address 永久地址:
☒ Same as residential address 與住址相同
☐ Otherwise, please specify 若與住址不同，請說明: (Please provide address proof within the recent 3 months 請提供最近3個月的地址證明)
- [REDACTED]
Flat 室 Floor 樓數 Block 座數 House 樓/Building 大廈 Estate 屋苑/Garden 花園
No. and Name of Street 門牌號碼及街道名稱 District 分區/Area 地區 Country 國家
- (7) Home Tel No. 住宅電話號碼: NIL (8) Mobile Phone No. 手提電話號碼: (853) 66435744
- (9) Employer (if self-employed, please state "self-employed" and the relevant trading/company name)
僱主 (如屬自僱，請註明「自僱」及相關的經營/公司名稱): NIL
Nature of Business of Employer 僱主業務性質: NIL Position 職位: 家庭主婦 Years of Service with Employer 服務僱主年期: NIL
- (10) Business/Office Address 營業/辦公地址: Tel No. 電話號碼: NIL
NIL
Flat 室 Floor 樓數 Block 座數 House 樓/Building 大廈 Estate 屋苑/Garden 花園
No. and Name of Street 門牌號碼及街道名稱 District 分區/Area 地區 Country 國家
- (11) Fax No.: NIL (12) Email Address: soucheng.lai@topgroup.biz
傳真號碼 Residential 住宅/Business 營業* (*Please choose 請選擇) 電子郵件地址

(13) Correspondence Address 通訊地址：

☒ Same as residential address 與住址相同☐ Same as business/office address 與營業/辦公地址相同☐ Other address, please specify 其他地址，請說明：

Floor 樓層	Block 座數	House 樓/Building 大廈	Estate 屋苑/Garden 花園
No. and Name of Street 門牌號數及街道名稱		District 分區/Area 地區	
Country 國家			

(14) Language used in and method of delivering contract notes, daily & monthly statements of account, confirmations and the like 成交單、帳戶日結單及月結單、確認函及同類文件所用之語言及送遞方法

Email* 電郵*

☐ English 英文發出☐ Chinese 中文發出

If you choose to receive electronic account statements, you can read your account statements through email. Accordingly, in the interest of environmental protection, you will not receive account statements by post.
如閣下選擇接收電子帳戶結單，您可經電郵閱覽帳戶結單。基於環境保護的考慮，閣下將不會收到以郵件寄發的帳戶結單。

☒ By post to correspondence address** 郵寄往通訊地址**☐ English 英文發出☒ Chinese 中文發出

* Please see Clause (9)(ii) in Section G
請參閱G項第(9)(ii)條

If you choose to receive contract notes, daily & monthly statements of account, confirmations and the like by email, you agree to complete and sign such further form (e.g. an Application for Electronic Services (as defined in Clause (14) of Section G)) as may be subsequently required by the SHK Company from time to time.
若閣下選擇經電郵收取成交單、帳戶日結單及月結單、確認函及同類文件，閣下同意填寫及簽署新鴻基公司可能其後不時要求的表格（例如：電子服務申請書（釋義按G項第(14)條））。

** Note: The contract notes, daily & monthly statements of account, confirmations and the like will be sent to the email address(es) as designated in item (12) of Section A (or where applicable, the latest email address(es) you have notified the relevant SHK Company). If you would like to receive these documents by post, subject to applicable legal and regulatory requirements, the relevant SHK Company may charge a reasonable fee which may be amended by the relevant SHK Company at any time and from time to time without prior notice. For details of the said fee, please refer to the fee schedule accompanying the Client Agreement of the relevant SHK Company or on the website of the relevant SHK Company.
註：成交單、帳戶日結單及月結單、確認函及同類文件將會送至A(12)項所指定的電郵地址（或當適用，閣下已通知相關新鴻基公司之最新近的電郵地址）。然而，如閣下希望透過郵寄方式收到此等文件，在受關於適用法律及規管的要求下，相關新鴻基公司可向閣下收取合理費用，相關新鴻基公司可隨時及不時修訂該費用但不會作出事前通知。就上述費用的詳情，閣下可參閱附隨於相關新鴻基公司客戶協議或於相關新鴻基公司網站上的收費表。

Financial Profile 財務概況

(15) Annual Income (HK\$) (Note*): 年收入（以港元計）（註*）
☒ ≤ \$250,000 ☐ \$250,001 - \$500,000 ☐ \$500,001 - \$1,000,000 ☐ > \$1,000,000

(16) Net Assets (HK\$) (Note*): 資產淨值（以港元計）（註*）
☐ ≤ \$50,000 ☐ \$50,001 - \$200,000 ☐ \$200,001 - \$500,000 ☐ \$500,001 - \$1,000,000
☐ \$1,000,001 - \$5,000,000 ☐ \$5,000,001 - \$10,000,000 ☒ \$10,000,001 - \$40,000,000 ☐ > \$40,000,000

(17) Liquid Assets (HK\$) (Note*): 流動資產（以港元計）（註*）
☐ ≤ \$50,000 ☐ \$50,001 - \$200,000 ☐ \$200,001 - \$500,000
☐ \$500,001 - \$1,000,000 ☐ \$1,000,001 - \$5,000,000 ☒ > \$5,000,000

(18) Initial Source(s) of Wealth 最初財富來源：

☐ Salary and/or bonus 薪金及/或花紅☒ Savings 儲蓄☐ Business income 業務收入☒ Return on investment 投資回報☐ Retirement funds 退休金☐ Inheritance or gift 遺贈或禮物☐ Others (Please specify) 其他（請說明）：_____

(19) Ongoing Source(s) of Wealth 持續財富來源：

☒ Same as Initial Source(s) of Wealth 與最初財富來源相同☐ Others (Please specify) 其他（請說明）：_____

(20) Initial/Ongoing Source(s) of Funds 最初/持續資金來源：

(a) Means of fund transfer(s) 資金轉移的方式：

☒ Cash 現金☐ Telegraphic transfer 電匯☒ Cheque/Bank draft 支票/銀行匯票☒ Others (Please specify) 其他（請說明）：Bank AC Transfer

(b) Country(ies) of Origin(s) 資金來源地：

☐ Hong Kong 香港☐ Mainland China 中國內地☒ Macau 澳門☐ Singapore 新加坡☐ United States 美國☐ Canada 加拿大☐ Others (Please specify) 其他（請說明）：_____

Note*: Please choose one of the options only
註*：請只選擇其中一項

Is the Applicant 申請人是否：

- (1) a senior officer or director of any (listed) company whose shares are traded on any exchange or market? (If yes, please specify the company name and stock code.)
任何其股份在交易所或市場買賣的(上市)公司之高級人員或董事?(如是,請說明公司名稱及股份編號。)

☐ Yes 是 () ☒ No 否

- (2) a person licensed by or registered with the Hong Kong Securities and Futures Commission^a or an employee of such person? (If yes, please specify his/her CE No.)
香港證券及期貨事務監察委員會持牌或註冊人士^a或該人士之僱員?(如是,請說明他/她的中央編號。)

☐ Yes 是 () ☒ No 否

- (3) a relative of the Investment Consultant responsible for the Applicant's Account(s) to be opened with SHK Group? (If yes, please state the relationship.)
此帳戶之負責客戶經理之親屬?(如是,請陳述與之關係。)

☐ Yes 是 () ☒ No 否

- (4) a U.S. citizen, a green card holder or residing in the U.S.?
美國公民、綠卡持有人或居住於美國?

☐ Yes 是 ☒ No 否

- (5) born in the U.S.?
出生於美國?

☐ Yes 是 ☒ No 否

Is/Are (i) the Applicant; and/or (ii) spouse, partner, child(ren) and/or parent(s) of the Applicant; and/or (iii) spouse(s) or partner(s) of the child(ren) of the Applicant; and/or (iv) close associate(s)^{aa} of the Applicant:

- (i) 閣下;及/或(ii)閣下之配偶、伴侶、子女及/或父母;及/或(iii)閣下子女的配偶或伴侶;及/或(iv)與閣下關係密切的人^{aa}是否:

- (6) entrusted with prominent public functions (e.g. Head of State or of government, senior politicians/important political officials, senior government officials, senior judicial officials, senior military officials, senior executives of state owned enterprises or religious leaders)? (If yes, please specify.)
被委任為重要公職(例如:國家或政府元首、重要政客、高級政府官員、高級司法人員、高級軍官、國有企業高級行政人員或宗教領袖)?(如是,請說明。)

☐ Yes 是 () ☒ No 否

^{aa} a person is a "close associate" of an individual if the person is

如某人符合以下說明,該人即屬與某名個人(首述個人)關係密切的人:

(a) an individual who has close business relations with the first-mentioned individual, including an individual who is a beneficial owner of a legal person or trust of which the first-mentioned individual is also a beneficial owner; or
該人是與首述個人有密切業務關係的個人(在首述個人屬某法人或信託的實益擁有人的情況下,包括同樣屬該法人或信託的實益擁有人的個人);或

(b) an individual who is the beneficial owner of a legal person or trust that is set up for the benefit of the first-mentioned individual.
該人是屬某法人或信託的實益擁有人的個人,而該法人或信託是為首述個人的利益而成立的。

- (1) Is your spouse a margin client of any company of SHK Group? (If yes, please provide details.)
申請人的配偶是否新鴻基集團之任何公司的孖展客戶?(如是,請提供詳情。)

☐ Yes 是 () ☒ No 否

- (2) Do you alone or jointly with your spouse control 35% or more of the voting rights of a corporate margin client of any company of SHK Group? (If yes, please provide details.)
申請人是否單獨或與配偶共同控制新鴻基集團之任何公司的一個孖展公司客戶35%或以上的表決權?(如是,請提供詳情。)

☐ Yes 是 () ☒ No 否

- (3) Is the Applicant, or was the Applicant at any time during the past 12 months, directly or indirectly (e.g. through a body corporate), whether or not together with other person(s) and/or entity(ies), connected or associated with any director (including any ex-director within the past 12 months), chief executive or substantial shareholder* of any company of SHK Group ("Connected Person")^{bb}? (If yes, please provide such details as requested by the SHK Company.)
申請人是否現在或於過去十二個月內任何時間,直接或間接(例如:透過一法人團體),不論是否聯同其他人士及/或實體,跟新鴻基集團之任何公司的任何董事(包括過去十二個月內之前董事)、行政總裁或主要股東*有所關連("有關連人士")^{bb}?(如是,請提供新鴻基公司所要求的詳情。)

☐ Yes 是 () ☒ No 否

* "Substantial shareholder" means, in relation to a company, a person who is entitled to exercise, or control the exercise of, 10% or more of the voting power at any general meeting of that company.
「主要股東」指,就一間公司而言,任何人士其於該公司之任何股東大會擁有權行使,或可控制行使,10%或以上之投票權。

^{bb} Examples of Connected Person include a spouse, child (legitimate or not, natural or adopted), step-child (legitimate or not, natural or adopted), parent, father-in-law, mother-in-law, son-in-law, daughter-in-law, grandparent, grandchild, uncle, aunt, cousin, brother-in-law, sister-in-law, nephew and niece of the above-mentioned director, ex-director, chief executive or substantial shareholder, a trustee of or for any of the foregoing persons and a partner of any of the foregoing persons (including any aforesaid trustee).
有關連人士例子包括上述董事、前董事、行政總裁或主要股東之配偶、子女(不論是否合法、親生或領養)、繼子女(不論是否合法、親生或領養)父母、配偶的父母、子女的配偶、祖父母、外祖父母、孫及外孫、父母的兄弟姊妹及其配偶、堂兄弟姊妹、表兄弟姊妹、兄弟姊妹的配偶、配偶的兄弟姊妹、以及兄弟姊妹的子女、任何前述人士的或為任何前述人士的受託人及任何前述人士(包括任何前述受託人)的合夥人。

(1) Capacity of the Applicant 申請人之身份

Is the Applicant 申請人是否

a. the ultimate beneficiary of the Account and transactions ("ultimate beneficiary") (Normally SHK Group would not accept an Applicant who is not the ultimate beneficiary.)
帳戶及交易的最終實益持有人 ("最終實益持有人")?
(新鴻基集團一般情況下不會接受非最終實益持有人之申請人。)

b. ultimately responsible for originating instructions (trading and/or others) for the Account?
(Please complete SHK Group's "Declaration of person/entity ultimately responsible for originating the instruction in relation to a transaction".)
為此帳戶之最終負責作出指示 (交易及/或其他指示) 的人士?
(請填寫新鴻基集團的「最終負責作出交易指示的人士/實體之聲明」。)

c. the only person with authority to operate the Account?
(**Please complete "Third Party Authorisation - Individual or Joint Account".)
唯一有權操作此帳戶者?
(**請填寫「第三者授權表格 - 個人或聯名帳戶」。)

(2) Details of the Applicant's bank account for payment of money (if any) by the SHK Company to the Applicant (under the name of the Applicant).
可供新鴻基公司用作支付任何款項 (若有的話) 予申請人之銀行帳戶詳細資料 (需以申請人名義持有)。
Further, the Applicant hereby agrees that if this Account Application is approved by the relevant SHK Company, the bank account below shall be used to receive payments (if any) to the Applicant in accordance with the Documents.
再者, 申請人現同意, 若本開戶申請表獲相關新鴻基公司所核准, 以下銀行帳戶將被用作接受按文件給予申請人的款項 (如有的話)。

Designated bank: TAI FUNG BANK Bank account no.: 228-2
指定銀行 銀行帳戶號碼

Name of bank account holder: LAI SOU CHENG Applicant's signature: 黎素晶
銀行帳戶持有人姓名 申請人簽署

For Cash Securities Trading Account 現金證券交易帳戶	Proposed Settlement Limit: HK\$ _____ 港元 建議結算限額
For Margin Securities Trading Account 孖展證券交易帳戶	Proposed Credit Limit: HK\$ <u>2,500,000</u> 港元 建議貸款限額
	Overdraft Interest Rate 透支利率: <u>P+3</u> % plus prime lending rate 加優惠利率
	Security % Limit 抵押比率: <u>70</u> % (Acceptance/Market 可接受價值/市值)
For Stock Options Trading Account 股票期權交易帳戶	Proposed Position Limit: HK\$ _____ 港元 建議持倉限額
	Other Terms 其他條款: _____
For OTC Swap Account 場外掉期帳戶	Proposed Position Limit: HK\$ _____ 港元 建議持倉限額
	Other Terms 其他條款: _____
For Commodities Trading Account 期貨交易帳戶	Proposed Position Limit: HK\$ _____ 港元 建議持倉限額
	Other Terms 其他條款: _____
For Bullion Trading Account 黃金交易帳戶	Proposed Position Limit: US\$ _____ 美元 建議持倉限額
	Other Terms 其他條款: _____
For Leveraged Foreign Exchange Trading Account 槓桿式外匯交易帳戶	Proposed Position Limit: US\$ _____ 美元 建議持倉限額
	Other Terms 其他條款: _____
For Global Payment Account - Spot FX 匯款易帳戶 - 現貨外匯	Proposed Position Limit: US\$ _____ 美元 建議持倉限額
For Global Payment Account - Forward FX 匯款易帳戶 - 遠期外匯	Proposed Position Limit: US\$ _____ 美元 建議持倉限額

I have read and fully understood the contents of this Account Application and the Client Agreement and agree to be bound by them. 本人已閱讀並完全明白本開戶申請表及客戶協議之內容，並同意受其等所約束。

I declare that I am not currently employed by any licensed or registered person to carry on regulated activities as defined in the Securities and Futures Ordinance (Cap.571 of the Laws of Hong Kong) (the "Ordinance"). Otherwise, I understand that I am required to provide to SHK Group written consent from my employer before I can open and operate an account with SHK Group. I undertake to promptly notify SHK Group if I become or cease to be employed by any licensed or registered person to carry out regulated activities.

本人聲明本人現時並非受僱於任何持牌人或註冊人以從事《證券及期貨條例》（香港法例第571章）（「條例」）界定的受規管活動。否則，本人明白本人須向新鴻基集團提供本人僱主的書面同意方可於新鴻基集團開立並使用帳戶。本人承諾如本人將受僱或不再受僱於何持牌人或註冊人以從事受規管活動時，將立即通知新鴻基。

Note: A licensed person means a licensed corporation licensed under the Ordinance. A registered person means a registered institution registered under the Ordinance.

注意：持牌人指根據條例獲發牌照的持牌法團。註冊人指根據條例註冊的註冊機構。

Further, I confirm that the Risk Disclosure Statements, Risk Disclosure Information (if applicable) and US Trader RDS & Info (if applicable), in or accompanying the Client Agreement have been provided in a language of my choice (English or Chinese) and that I have read, understood and accepted the nature and contents thereof. I appreciate that they are not and cannot be taken as a comprehensive or exhaustive list of all possible risks. I confirm that I have been given the opportunity to ask questions and take independent advice if I so wish.

再者，本人確認載於或附隨客戶協議及附件之風險披露聲明及美股風險披露聲明、風險披露資料（若適用）及資料（若適用）已按本人選擇之語言（英文或中文）提供予本人，及本人已閱讀、明白和接受其／其等（若適用）性質和內容。本人明白它們不是而且不能被當作一份完全或徹底列舉所有潛在風險的清單。此外，本人已被給予機會提出問題及徵求獨立的意見（若本人有此意願）。

In case I execute this Account Application not before a SHK Group staff/SHK Group licensed representative, or in case I execute this Account Application in accordance with any non-face to face procedures as may be permitted by the applicable laws and/or regulatory requirements, I confirm that I am aware that (i) SHK Group will contact me via telephone call ("Follow-up Call") to explain to me the Risk Disclosure Statements and, if applicable, Risk Disclosure Information before permitting me to trade under any account to be opened under this Account Application and (ii) if I do not confirm that I fully understand and accept the relevant risks during such Follow-up Call, I can immediately withdraw this Account Application and have this Account Application and supporting documents returned to me.

若本人並非在一名新鴻基集團員工／新鴻基集團持牌代表面前簽署此開戶申請表，或本人在適用法律及／或監管規定准許的情況下根據非親身開戶程序簽署此開戶申請表，本人確認本人知悉(i)在本人獲准在根據此開戶申請表開立的帳戶內進行交易前，新鴻基集團將會電話聯絡本人（「跟進電話」）以解釋風險披露聲明及風險披露資料（若適用）；(ii)若本人在跟進電話中不確認本人完全明白並接受有關的風險，本人可以立刻取消有關申請並取回此開戶申請表及相關證明文件。

For Cash Securities Trading Account(s) and Margin Securities Trading Account(s) Only

只適用於現金證券交易帳戶及孖展證券交易帳戶

I also confirm that the RISKS OF TRADING IN EXCHANGE-TRADED STRUCTURED PRODUCTS (e.g. Derivative Warrants, Callable Bull/Bear Contracts) and RISKS OF TRADING IN SYNTHETIC EXCHANGE TRADED FUNDS contained in the above-mentioned Risk Disclosure Statements have been explained to me and I have understood the contents thereof.

本人確認已獲載於以上風險披露聲明之「買賣交易所買賣之結構性產品及衍生工具（例如：衍生權證、牛熊證）的一些相關風險」及「買賣合成交易所買賣基金的風險」之講解，且本人已明白其內容。

For Online Securities Trading Accounts (US Trader) Only

只適用於網上美國證券交易帳戶（美股易）

(I) In addition, I have received the agreements of the Information Services Provider(s) (as defined in Clause 6 of the Supplement to Sixth Schedule to the Client Agreement of SHKIS) listed below ("ISP Agreements") and have read and fully understood the terms contained therein and agree to be bound by all the terms of the applicable ISP Agreement(s). (II) I have received the US Trader Anti-Money Laundering Undertakings, Representations and Warranties and have read and fully understand, and hereby undertake, represent and warrant to SHKIS in, and agree to, the terms contained therein. (III) I consent that SHKIS may, at my own risk, send my Access Codes (as defined in the Client Agreement of SHKIS) for US Trader to my email address(es) specified in Section A of this Account Application and I understand and accept all the risks associated with the sending of my Access Codes for US Trader to my aforesaid email address(es) (including, without limitation, the risks arising from the unreliable and public nature of the Internet which may cause incorrect information transmission or loss of confidentiality of the information transmitted).

(I)再者，本人已收到以下所列資料服務供應商（定義見新鴻基投資的客戶協議附件六補充文件的條款6）的協議（「資料服務供應商協議」）並已閱讀及完全明白當中所載的條款，並各同意受適用的資料服務供應商協議的所有條款所約束。(II)本人已收到美股易反洗黑錢承諾、聲明及保證並已閱讀及完全明白當中所載的條款以及謹此就該等條款向新鴻基作出承諾、聲明、陳述及保證，並同意該等條款。(III)本人同意：在風險由本人獨自承擔下，新鴻基投資可將本人的美股易接達密碼（定義詳於新鴻基投資的客戶協議）送往於本開戶申請表A項所指明的本人電郵地址（一個或多個）處及本人明白及接受所有與將本人的美股易接達密碼送往本人前述的電郵地址處相關之風險（一個或多個）處相關之風險（包括但不限於因互聯網的不可靠及公眾的性質所產生之風險而這些性質可能導致傳輸不正確資料或所傳輸之資料失卻其保密性）。

The ISP Agreements:

資料服務供應商協議：

1. Agreements & Disclosures/Equities Non-Professional Market Data Agreement
協議及披露／股票非專業市場數據協議：
(a) NYSE and Amex Terms and General Applicability of Market Data
紐約證券交易所(NYSE)及美國證券交易所(Amex)的條款及市場數據的普遍適用性
(b) OPRA Exchange Agreement – Non Professional Subscriber Application and Agreement:
期權報價管理局交易協議 — 非專業用戶申請及協議
(Last Sale and Quotation Information for Personal Non-business Use Only)
(僅供個人非商業用途的最新沽售及報價資料)
2. Dow Jones Indices Terms and Conditions 道瓊斯指數條款及條件
3. Agreements & Disclosures/On-Line Nasdaq Subscriber Agreement
協議及披露／網上納斯達克用戶協議

For OTC Swap Account(s) Only

只適用於場外掉期帳戶

I acknowledge and agree that all transactions carried out in the OTC Swap Account will be subject to the OTC Swap T&Cs (Individuals) and the OTC Swap Account Annex together with the specific terms and conditions as stated in the Confirmation in respect of each specific transaction or other confirming evidence. I confirm that I have read and fully understand the contents of the OTC Swap T&Cs (Individuals), including without limitation the generic risks associated with over-the-counter derivative transactions listed in Second Schedule (Risk Disclosures) thereof, and agree to be bound by them.

本人確認並同意於場外掉期帳戶下開展之所有交易，將受「場外掉期條款及細則（個人）」及「場外掉期帳戶附件」以及確認書所載之關乎各項個別交易或其他確認證據之特定條款及細則約束。本人確認已閱讀並完全明白場外掉期條款及細則（個人）之內容，包括但不限於場外掉期條款及細則（個人）的附件2風險披露中列明的場外交易衍生產品相關之風險，並同意受其等所約束。

Use of Personal Data for Direct Marketing**直接推廣中個人資料的使用**

I understand that SHK Group intends to use or transfer my personal data (e.g. name, contact details and age group, etc.) for sending promotional or other materials and direct marketing of financial services, products or goods to members of the SHK Group or entities outside of the SHK Group which are their business partners in financial and related services, for which SHK Group may receive gain. SHK Group cannot do so without my consent. Should I disagree to such use or transfer of my personal data, I would indicate my objection by ticking the box(es) below, and I can change my instructions at any time by providing written notice to SHK Company. If SHK Group receives any conflicting instructions from me regarding the use or transfer of my personal data, the instructions given at the latest date shall prevail.

我明白新鴻基欲使用或轉移本人的個人資料（例如姓名、聯絡資料和年齡組別等）至本集團的成員公司或集團以外提供金融或其他相關服務的公司以作傳送推廣或其他資料及直接促銷金融服務、產品或貨品，而新鴻基可能就此獲取得益，惟新鴻基在未經本人同意時不可使用本人的個人資料。若本人不同意本人的個人資料之使用或轉移，本人將於以下方格中打「✓」以示反對。本人可以隨時透過書面方式，向新鴻基更改指示。倘新鴻基就本人的個人資料的使用收到本人不一致的指示，則以最後日期提供的指示為準。

☒ I object to the use or transfer of my personal data by or to members of the SHK Group for direct marketing
本人反對本人的個人資料被新鴻基集團之成員用作直接促銷或與之有關的集團內部轉移

☒ I object to the use or transfer of my personal data by or to entities outside of the SHK Group for direct marketing
本人反對本人的個人資料被新鴻基集團以外的公司用作直接促銷或與之有關的轉移

Financial services, products or goods include but are not limited to those relating to any type of investment, insurance, foreign exchange, lending or other related areas.

金融服務、產品或貨品包括但不限於任何投資、保險、外匯及借貸或其他相關範圍。

For definitions and details of the SHK Group's personal data policy, please refer to the Personal Data Schedule of the attached Client Agreement(s) or subsequent amendments (if any).

有關新鴻基個人資料政策的定義及詳情，請參閱附隨的客戶協議之個人資料附件或其後修訂（如有）。

Executed as a deed on 簽訂作契約於： 30/09/2014
(Insert date) (填上日期)

Signed, sealed and delivered by 簽署、蓋印及交付：

Applicant's Signature*:
申請人簽署*：

Witness Signature*:
見證人簽署*：

SHK Group staff name and No./SHK Group licensed representative name and CE No.:
新鴻基集團僱員姓名及編號/新鴻基集團持牌代表姓名及中央編號：

陳永明

(L.S.)

CMak

MAK HUI NING A9164 AYA206

* The signatures shall be recorded as specimen signature for the purpose of the Account and all matters relating to it. 為帳戶及所有其他相關事宜，簽署將被記錄為簽署樣式。
* If the witness is not an SHK Group staff/SHK Group licensed representative, please sign in the Certification below. 如見證人並非新鴻基集團僱員/新鴻基集團持牌代表，請簽署以下校欄。

CERTIFICATION (to be completed when Account Application not signed before a staff member/licensed representative of SHK Group)
校欄（如開戶申請表並非在新鴻基集團的僱員/持牌代表面前簽署，請填此欄）

I am a* Justice of the Peace/branch manager of a licensed bank/lawyer/certified public accountant (practising)/notary public/SFC licensed or registered person accredited to the intermediary named below. I hereby certify that on the date above written in this Section F, this Account Application was executed by the Applicant named in this Account Application (who had been previously identified by production of the original of his/her Identity Card or Passport (detailed above) to me) before me and the common seal of the Applicant was affixed to this Account Application in my presence.

本人乃*太平紳士/持牌銀行分行經理/律師/執業會計師/公證人/隸屬以下所指名之中介團體之證監會持牌或註冊人士。本人現證實：於以上在本F項所寫的日期當日，本開戶申請表乃由本開戶申請表所指名的申請人（其身份已根據並向本人出示之身份證或護照（詳見上方）正本作核實）於本人面前簽訂。

* Please delete as appropriate 請刪去不適用者

Signature of the certifier 證明人簽署

Date 日期

Name of the certifier (please print)
證明人姓名（正楷）

Title (please print)
銜頭（正楷）

CE No. of the certifier (if applicable)
證明人之中央編號（如適用）

Name and CE No. of the intermediary to which the certifier is accredited (if applicable)
證明人所隸屬之中介團體名稱及中央編號（如適用）

Declaration by a licensed person accredited to the SHK Company
隸屬於新鴻基公司持牌人士聲明

I confirm that I have provided the Risk Disclosure Statements, Risk Disclosure Information (if applicable) and US Trader RDS & Info (if applicable), in or accompanying the Client Agreement in a language of the Applicant's choice (English or Chinese), and have invited the Applicant to read such Risk Disclosure Statements and (if applicable) such Risk Disclosure Information, ask questions and take independent advice if he/she wishes.
 本人確認已按申請人所選擇語言（英文或中文）提供載或附於客戶的風險披露聲明、風險披露資料（若適用）及美股易風險披露聲明及資料（若適用），並已邀請申請人閱讀該／該等（如適用）風險披露聲明、提出問題及徵求獨立的意見如其有此意願。

I hereby confirm that I have not engaged in, and undertake that I will not engage in any activities or have any formal or informal arrangements in place to assist the Applicant or clients of SHK Group to circumvent the account identification requirements in relation to the Foreign Account Tax Compliance Act of the United States of America.

本人在此確認本人沒有從事、亦承諾在將來不會從事任何活動或有任何正式或非正式安排以協助申請人或新鴻基集團的客戶規避有關美國海外帳戶納稅法案(Foreign Account Tax Compliance Act)。

For Cash Securities Trading Account(s) and Margin Securities Trading Account(s) Only
只適用於現金證券交易帳戶及孖展證券交易帳戶

I confirm that I have explained to the Applicant the RISKS OF TRADING IN EXCHANGE-TRADED STRUCTURED PRODUCTS (e.g. Derivative Warrants, Callable Bull/Bear Contracts) and RISKS OF TRADING IN SYNTHETIC EXCHANGE TRADED FUNDS contained in the above-mentioned Risk Disclosure Statements.

本人確認已向申請人講解載於以上風險披露聲明之「買賣交易所買賣之結構性產品及衍生工具（例如：衍生權證、牛熊證）的一些相關風險」及「買賣合成交易所買賣基金的風險」。

For Online Securities Trading Accounts (US Trader) Only
只適用於網上美國證券交易帳戶（美股易）

(i) I confirm that I have provided the ISP Agreements (defined above) to the Applicant and have invited the Applicant to read the terms contained in the applicable ISP Agreement(s). (ii) I have provided and invited the Applicant to read the US Trader Anti-Money Laundering Undertakings, Representations and Warranties. (iii) I have explained to the Applicant that SHKIS may, at the Applicant's own risk, send the Applicant's Access Codes (as defined in the Client Agreement of SHKIS) for US Trader to the Applicant's email address(es) specified in Section A of this Account Application and I have explained the risks associated with the sending of the Applicant's Access Codes for US Trader to the Applicant's aforesaid email address(es) (including, without limitation, the risks arising from the unreliable and public nature of the Internet which may cause incorrect information transmission or loss of confidentiality of the information transmitted).

(i) 本人確認本人已向申請人提供資料服務供應商協議（定義如上）並已邀申請人閱讀適用之資料服務供應商協議中的條款。(ii) 本人已提供並邀申請人閱讀美股易反洗黑錢承諾、聲明及保證。(iii) 本人已向申請人說明：在風險由申請人獨自承擔下，新鴻基投資可將申請人的美股易接達密碼（定義見新鴻基投資的客戶協議）送往於本開戶申請表A項所指定的申請人的電郵地址處及本人已說明將申請人的美股易接達密碼送往申請人前述的電郵地址處相關之風險（包括但不限於因互聯網的不可靠及公開之性質，這些性質可能導致傳輸不正確資料或所傳輸之資料失卻其保密性所產生的風險）。

For Stock Options Trading Account(s) Only
只適用於股票期權交易帳戶

I confirm that I have discussed matters relating to options with the Applicants and based on the information provided, I believe that the Applicant has sufficient income and liquid assets to meet his/her obligations in respect of the options activity proposed and that such activity is reasonably suitable for the Applicant.

本人確認本人已與申請人商討有關期權買賣之事宜，根據所提供之資料，本人相信各申請人有足夠收入及流動資產應付建議之期權買賣活動的有關責任，申請人亦適合進行此項買賣活動。

For OTC Swap Account(s) Only
只適用於場外掉期帳戶

I confirm that I have explained to each Applicant the risks associated with over-the-counter derivative transactions listed in Second Schedule (Risk Disclosures) of the OTC Swap T&Cs (Individuals).

本人確認本人已向各申請人解釋場外掉期條款及細則（個人）的附件2（風險披露）中列明的場外交易衍生產品相屬之風險。

Signature of licensed person 持牌人簽署

Date 日期

Name of licensed person (please print)
 持牌人姓名（正楷）

CE No. (please print)
 中央編號（正楷）

Documentation checked by 文件查對人：

- (1) The Account is a non-discretionary account, which means that every trade conducted in it must be specifically authorised orally/in writing by the Applicant or, if applicable, any person(s) duly authorised by the Applicant pursuant to this Account Application, the Client Agreement and/or the OTC Swap T&Cs (Individuals).

帳戶為非全權代客買賣帳戶，乃指帳戶內每項交易必須得申請人或根據本開戶申請表、客戶協議及／或場外掉期條款及細則（個人）訂明之一位或多位恰當地獲授權人士（若適用），以口頭或書面形式發出的特定授權才可進行交易。

- (2) Save for Clause (13) of this Section G, this Account Application is subject to the Client Agreement as amended from time to time. Unless otherwise indicated in writing by the relevant SHK Company, the Documents shall together constitute the entire agreement and understanding between the Applicant and the relevant SHK Company in respect of the matters contemplated under the Documents. Terms defined in the Client Agreement have the same meanings when used in this Account Application (save where otherwise expressly provided in this Account Application). Save for Clause (13) of this Section G, in the event of any conflict or inconsistency between the Client Agreement and any other document entered into between the Applicant and the relevant SHK Company and this Account Application, the Client Agreement and other any document entered into between the Applicant and the relevant SHK Company shall prevail to the extent of such conflict or inconsistency.

除本G項第(13)條外，本開戶申請表乃受客戶協議及附件（及其不時之修訂本）所規限。除非相關新鴻基公司另有書面表示，否則文件將一起構成為申請人與相關新鴻基公司之間就文件所預期之事宜的全部協議及附件及諒解。本開戶申請表所用之詞語與客戶協議所定義者具相同釋義（除非於本開戶申請表內另有明示指定）。除本文G項第(13)條外，倘若客戶協議及附件及申請人與相關新鴻基公司間之任何其他文件與本開戶申請表有任何矛盾或不相同之處，當以客戶協議及附件及申請人與相關新鴻基公司間之任何其他文件為準，但只限於該矛盾或不一致之處。

- (3) The SHK Company will not automatically release the Applicant's name and address as supplied in this Account Application to Hong Kong Securities Clearing Company Limited for receiving corporate communications directly from a relevant listed issuer(s). A separate authorisation (as specified by the SHK Company from time to time) to SHK Company signed by the Applicant will be required for this purpose.

新鴻基公司不會自行將在本開戶申請表上所提供之申請人姓名及地址給予香港中央結算有限公司以作直接收取有關上市發行機構之公司通訊。申請人需另行向新鴻基公司簽訂由新鴻基公司不時指定之有關授權。

- (4) The Applicant hereby declares and represents that the information provided on, with, and / or pursuant to this Account Application is true, accurate, complete and up-to-date and that all action necessary to authorise the disclosure of such information to the SHK Company and the use of such information by the SHK Company for any purposes contemplated under or related to this Account Application has been taken. The Applicant hereby undertakes to provide such further information as subsequently and reasonably requested by the SHK Company from time to time or otherwise required under the Client Agreement. The Applicant hereby further undertakes to notify the SHK Company promptly of any change to any aforesaid information. The SHK Company is entitled to rely fully on all aforesaid information for all purposes until the SHK Company is notified to the contrary in writing and any such written notification shall be duly signed by the Applicant. The Applicant understands and accepts that unless otherwise agreed by the SHK Company in writing, any change to any aforesaid information shall not take effect until 5 days after the actual receipt by the SHK Company of the relevant written notification.

申請人聲明及申述開戶申請表上提供、應附及／或按本開戶申請表所提供的資料皆為真實、準確、完整及為最新的，並且已採取一切必要行動獲授權可向新鴻基公司披露該等資料及新鴻基公司可為本開戶申請表所預期或關於其目的而使用該等資料。申請人並承諾此後根據客戶協議書及附件或新鴻基之合理要求，不時向新鴻基公司提供其他資料。申請人現再承諾即時通知新鴻基公司任何前述資料之任何變更。除非新鴻基公司接獲申請人以書面通知的任何變更，否則新鴻基公司有權完全依賴所有前述之資料作一切用途及任何該等書面通知須由申請人恰當地簽署。申請人明白及接受：除非新鴻基公司另有書面同意，否則任何前述資料的任何變更，只會於新鴻基公司確實收受有關書面通知當日起計五日後才會生效。

- (5) The Applicant hereby irrevocably and by way of security appoints the SHK Company as his/her lawful attorney to execute all documents and do all things which the SHK Company in good faith considers necessary and which the Applicant ought reasonably to do in furtherance or as a consequence of the terms of this Account Application or to perfect any security given by the Applicant.

申請人現不可撤銷地並以保證形式委任新鴻基公司擔任其合法受託代表人簽訂所有文件，以及作出所有事情，而該等文件及事情乃新鴻基公司真誠地認為申請人應當合理簽訂或作出以貫徹本開戶申請表之條款或因此等條款而產生或以完善任何由申請人提供的抵押的文件或事情。

- (6) The Applicant should familiarise himself / herself with and, where applicable, take advice on the laws and regulations applicable to the subscription, holding and realisation of the investments in respect of the Account in the place of his / her domicile / residence and, if applicable, all other relevant jurisdictions. The Applicant hereby warrants and represents and undertakes to ensure (and it is his / her sole responsibility to ensure) that under the laws of the place of his / her domicile / residence and, if applicable, all other relevant jurisdictions; he / she is lawfully entitled or permitted to open and maintain the Account with the SHK Company subject to the terms of the Client Agreement; to enter into such transactions, and to hold such assets, as contemplated under the Client Agreement and to comply with the terms of the Client Agreement and such warranties, representations and undertakings to the SHK Company are deemed to be repeated on each day up to and including the termination of the Client Agreement of the relevant SHK Company. Termination of the Client Agreement of the relevant SHK Company shall not affect any action by the relevant SHK Company or any of its agents or any third party permitted under such Client Agreement initiated prior to the date of termination or any indemnity or warranty given by the Applicant under such Client Agreement. The Applicant undertakes to pay all taxes, charges and other amounts, directly and indirectly, arising out of or in connection with the opening and/or maintaining of the Account and/or the entering into the aforesaid transactions and/or the holding of the aforesaid assets and/or the compliance with the terms of the Client Agreement. It is the sole responsibility of the Applicant to deal with any matter related to this Clause (6) and the SHK Company is under no obligation to take any action in relation to any such matter. Should the Applicant require any reasonable assistance from the SHK Company regarding any such matter, the SHK Company may, in its absolute discretion, render such assistance and all the costs, fees, charges, expenses and other amounts thereby incurred (including any service charges of the SHK Company for or in connection with rendering such assistance) shall be solely borne by the Applicant who undertakes to pay the same. Notwithstanding anything in this Clause (6) and notwithstanding the SHK Company may have rendered any assistance to the Applicant before (whether regarding the same matter or not), the SHK Company may, at any time, without liability to the Applicant or any third party and without assigning any reason therefor, refuse to render any assistance or further assistance (as the case may be) to the Applicant.

申請人應熟悉在其居籍／居留地及（若適用），所有其他相關的司法管轄區適用於關於帳戶之認購、持有及變現投資的法律及規則並當適用時尋求相關意見。申請人現保證、聲明及承諾確保（及此乃其獨自的責任去確保）根據其居籍／居留地及（若適用）所有其他相關司法管轄區的法律，其乃合法地有權或被許可在受客戶協議條款約束下於新鴻基公司開立並維持帳戶及訂立；及進行及持有客戶協議所擬之交易及資產；以及遵守客戶協議的條款。再者，該等向新鴻基公司發出的保證、聲明及承諾將被視為每日作出，直至及包括相關新鴻基公司的客戶協議終止為止。相關新鴻基公司的客戶協議之終止，將不會影響在終止日前相關新鴻基公司或其任何代理人或任何第三方於該客戶協議容許下已展開之行動，亦不影響申請人在該客戶協議下給予之任何彌償或保證。申請人承諾支付直接或間接因或關於開立及／或維持帳戶及／或進行前述的交易及／或持有前述的資產及／或遵守客戶協議的條款而產生的所有稅項、費用及其他款項。此乃申請人獨自的責任處理關於本第(6)條的任何事宜，新鴻基公司並沒有責任就任何該等事宜採取任何行動。若申請人就任何該等事宜需要新鴻基公司的任何合理協助，新鴻基公司可能以

其絕對耐權提供該協助，並且因此而招致的所有開支、費用、收費、支出及其他款項（包括新鴻基公司為或屬於提供該協助的任何服務費）將由申請人獨自承擔而其亦承諾支付。儘管本第(6)條有任何規定及儘管新鴻基公司可能以前已向申請人提供任何協助（不論是否關於同一事宜），新鴻基公司可隨時拒絕向申請人提供任何協助或進一步的協助（視情況而定）但無須向申請人或任何第三方負責亦無須給予任何理由。

- (7) The Applicant confirms that unless otherwise indicated in this Account Application, he/she is acting as principal in relation to the Account. 申請人確認就帳戶而言，除非於本開戶申請表另有所指示，其乃以主事人的身份行事。
- (8) The Applicant confirms that he/she has read, is aware of and understands the terms set out in the Form of Options Information Statement, Disclaimer in Relation to Trading of Stock Index Futures Contracts, Disclaimer in Relation to Trading of Stock Index Option Contracts and HK Exchange Disclaimer in the Client Agreement. (This Clause (8) is applicable to the Applicant if any Account, once approved to be opened, is governed by the relevant Client Agreement comprising the foregoing documents.) 申請人確認已閱讀，知悉並完全明白客戶協議內之期權資料說明表、有關買賣股票指數期貨的免責聲明、有關買賣股票指數期權的免責聲明及香港交易所免責聲明（本第(8)條適用於申請人任何（一旦獲核准開立）便由包含前述文件之相關客戶協議所規限的帳戶）。
- (9) (i) The use of online trading services, specified at page 1 of this Account Application, shall be in accordance with SHKIS', SHKOS', SHKB's, SHKCOM's and SHKFX's Client Agreement respectively and such other applicable terms as may be designated from time to time by SHKIS, SHKOS, SHKB, SHKCOM and/or SHKFX. Depending on the choice of the Applicant indicated by ticking the appropriate box(es) for any one or more of all of the aforesaid online trading services ("Chosen Electronic Services"), the Applicant agrees to use the Chosen Electronic Services on such website(s) as designated by the SHK Company from time to time and in accordance with the applicable document(s) and terms above mentioned in this Clause (9)(i) ("Applicable Documents" for the purpose of this Clause (9) only). The Applicant confirms that the relevant terms and conditions set out in the Applicable Documents, as well as the related risks set out therein and in the Risk Disclosure Statements ("Risks") have been explained to him/her. The Applicant confirms its understanding and acceptance of the Risks. The Applicant agrees to use the Chosen Electronic Services in accordance with the Applicable Documents. (This Clause (9)(i) is only applicable to the Applicant who has ticked the appropriate box(es) for the Chosen Electronic Services at page 1 of this Account Application).
- 本開戶申請表第1頁所指定的網上交易服務將各自按新鴻基投資、新鴻基利網、新鴻基金業、新鴻基期貨及新鴻基外匯的客戶協議及附件以及新鴻基投資、新鴻基利網、新鴻基金業、新鴻基期貨及／新鴻基外匯可能不時指定之其他適用條款使用。視乎申請人於本開戶申請表第1頁適當方格中加上「✓」號作為顯示其所選擇上述之任何一項、多項或所有電子服務（「已選擇電子服務」），申請人同意，根據本第(9)條上述適用的一份或多份文件及條款（「適用文件」）僅作本第(9)條之用途）並於新鴻基公司不時指定的一個或多個網站使用已選擇電子服務。申請人確認，其已理解關於適用文件內所列載的相關條款及條件及於適用文件及風險披露聲明內列出之相關風險（「風險」）。申請人確認其已明白和接受風險。申請人同意根據適用文件使用已選擇電子服務。（本第(9)(i)條只適用於於本開戶申請表第1頁於已選擇電子服務之適當方格中加上「✓」號之申請人。）
- (ii) The Applicant consents to receive all relevant contract notes, daily and monthly statements of account, confirmations and the like (collectively, "Advice" for the purpose of this Clause (9) only) to be issued by the relevant SHK Company by means of email to the email address(es) provided in Section A herein above if this Account Application is approved by the relevant SHK Company. The Applicant hereby acknowledges that the Internet or other electronic medium is an inherently unreliable medium of communication and that such unreliability is beyond SHK Group's control or anticipation. The Applicant agrees that SHK Group shall not be responsible for any loss, damage, costs, expenses, claims or liability of whatsoever nature, directly or indirectly, arising out of or in connection with such unreliability or the public nature of the Internet or other electronic medium or any other cause beyond SHK Group's control or anticipation. (This Clause (9)(ii) is only applicable to the Applicant who has selected "Email" as the delivery method in Section A(14). However, if the Applicant is required to complete and sign an Application for Electronic Services for the purpose of receiving Advice (defined above), the terms and conditions in such Application for Electronic Services shall supersede this Clause (9)(ii)).
- 若本開戶申請表獲相關新鴻基公司所核准，申請人同意於以上本開戶申請表A項所指定之電子郵件地址收取由相關新鴻基公司以電郵方式發出之所有相關之成交單據、帳戶日結單及月結單、確認函及同類文件（僅就本第(9)條之用途，統稱「通知書」）。申請人在此確認互聯網或其他電子媒介本質上乃不可靠的通訊媒介，而該不可靠性乃非新鴻基集團所能控制或預期的。申請人同意，對直接或間接因或相關於該不可靠性，互聯網或其他電子媒介之公眾性質或任何其他非新鴻基集團可控制或預期的原因而產生之任何損失、損害、開支、費用、索求或責任（不論屬任何性質），新鴻基集團一概並不負責。（本第(9)(ii)條只適用於在A(14)項已選擇「電郵」為送遞方法之申請人。但若申請人須為收取通知書（釋義按上）而填寫並簽署電子服務申請書，則該電子服務申請書所載之條款及條件將替代本第(9)(ii)條。）
- (10) The Applicant confirms the receipt of, and understands and agrees to the terms of SHK Group's policies and practices relating to the use of personal data either attached to this Account Application as the Statement of Practice in regard to Personal Data (Privacy) Ordinance or attached to/provided in the Client Agreement and/or the OTC Swap T&Cs (Individuals) (as the case may be). 申請人確認收到及明白並同意新鴻基集團有關個人資料使用之政策及慣例之條款，其等於附隨本開戶申請表的關於個人資料（私隱）條例之操作聲明中列明或附隨／載於客戶協議及／或場外掉期條款及細則（個人）（視情況而定）。
- (11) By not objecting to the use of his/her personal data for direct marketing purposes by SHK Company in Section F, the Applicant expressly consents that the SHK Company may at any time and from time to time send to him/her by telephone, email or other electronic means any messages relating to services or products which, in the opinion of the SHK Company, the Applicant may be interested. The Applicant may at any time request not to receive such messages from the SHK Company by sending an "unsubscribe" request to the unsubscribe facility specified in such messages or by written notice to the SHK Company at the address stated at the front page of this Account Application or such other address as the SHK Company may subsequently notify from time to time.
- 若申請人於F項並不反對新鴻基公司使用其個人資料以作直接推廣用途，申請人則明確同意新鴻基公司可隨時及不時透過電話、電子郵件或其他電子途徑傳送予申請人新鴻基公司認為其可能有興趣之服務或產品訊息。申請人可隨時要求不從新鴻基公司處接收該等訊息並可取消接收要求送該等訊息內所指定之取消接收選項，或以書面通知寄至本開戶申請表首頁所述之地址或新鴻基公司日後不時所公佈之其他地址，而要求不從新鴻基公司處接收該等訊息。
- (12) The Applicant hereby agrees to indemnify, on demand, the SHK Company (on a full indemnity basis) for all losses, costs and expenses (including legal costs) and liabilities of any nature whatsoever suffered or incurred by the SHK Company in reliance on any information mentioned in Clause (4) of this Section G or in consequence of any failure to provide any such information in a timely manner or at all by the Applicant or, directly or indirectly, arising from or in connection with the SHK Company's act or inaction in relation to this Account Application (except for any wilful misconduct on its part), or any act or omission of the Applicant (whether or not constituting a breach of any provision contained in this Account Application).

申請人現承諾應要求彌償新鴻基公司（按全面彌償基準）因依賴本G項第(4)條所述之任何資料或因申請人沒有及時或沒有向新鴻基公司提供任何該等資料或直接或間接因或關於新鴻基公司就本開戶申請表之任何行動或不行動（其故意不當行為除外）或申請人之任何行動或遺漏（不論是否構成一項違反本開戶申請表內所載之任何條款）而令新鴻基公司蒙受或承擔的所有損失、費用及支出（包括法律費用）及責任（不論屬任何性質亦然）。

- (13) Notwithstanding anything to the contrary which may be contained in this Account Application or any other document, this Account Application is subject to the final approval of the SHK Company (whether with or without further conditions) and the SHK Company shall not be obliged to give any reason for not approving the same.

儘管本開戶申請表或任何其他文件可能另有訂明，本開戶申請表之最終核准將會由新鴻基公司決定（不論有否其他條件）。同時，新鴻基公司有權在無須提供理由之情況下拒絕該申請。

- (14) In this Account Application, the following terms have the following meanings:

於本開戶申請表，以下詞語具以下定義：

"Application for Electronic Services" means an application for internet, mobile devices, IVRS services or other form of electronic services, the contents and form(s) of which may be specified by SHK Group from time to time.

「電子服務申請書」指就互聯網、流動設備、音頻電話或其他形式的電子服務之申請書，其內容及格式由新鴻基集團不時指定。

"relevant SHK Company" means the company(ies) of SHK Group which agree(s) to open and maintain such account(s) and, where applicable, provide such services, with or without further conditions, as notified to the Applicant by such company(ies) in writing.

「相關新鴻基公司」指新鴻基集團的一間或多間公司，而其/其等同意並以書面通知申請人開立及維持該通知所指的一個或多個帳戶及（若適用）（不論是否附帶其他條件）該通知所指的服務。

"subsidiary" bears the same meaning given to it under the Companies Ordinance (Cap.32 of the Laws of Hong Kong) (as amended from time to time).

「附屬公司」與《公司條例》（香港法例第32章）（及其不時修訂本）下所指明的附屬公司具相同定義。

For the purposes of this Account Application, two companies shall be taken to be associated companies if one is a subsidiary of the other, or both are subsidiaries of a third company, and "associated company" shall be construed accordingly.

就本開戶申請表而言，如兩間公司的其中一間是另一間的附屬公司，或該兩間公司俱是第三間公司的附屬公司，則該兩間公司將視為相聯公司，而「相聯公司」一詞亦據此解釋。

- (15) In this Account Application, unless the context otherwise specifies, terms in the singular shall include the plural and vice versa; all references to any particular gender shall include all genders; and references to Section(s) shall be to the Section(s) of this Account Application.

在本開戶申請表，單數詞語包括眾數詞語，反之亦然，提到一種性別之處，包括所有性別；及項目／項乃指本開戶申請表之項目／項。

Optional Information 自由提供資料

Applicant's Background 申請人背景:

Ms Lai (Cash AC: [redacted] 325) would like to invest more frequently by using margin account. She is active in trading US stock (AC: [redacted] 376) with asset more than USD 700k in account

Applicant's relationship with Investment Consultant e.g. relatives (please specify), friend, etc.

申請人與客戶經理的關係，如親戚（請註明）、朋友等

☐ Walk-in 街客☐ Referral 客戶轉介☒ Others (Please specify) 其他（請註明）*existing client*

How long has the Applicant been known to Investment Consultant 客戶經理認識申請人年期:

6 months

Investment Consultant's Signature 客戶經理簽署:

Full name 全名:

*Chak**BO-65(29)**WONG SING CHAI*

Details of any licence or registration (including CE No.) 牌照或註冊資料（包括中央編號）:

*AV1617*Approved account opening for and on behalf of the relevant SHK Company by
經由下列人士為及代表相關新鴻基公司核准開戶Account opening checked/endorsed by Credit
開戶經由信貸部核對／認可Authorised Signatory
獲授權簽署人Name (please print):
姓名（正楷）
Date 日期:

May Wong
Branch Operations
09 OCT 2014

Name (please print):
姓名（正楷）
Date 日期:*Gloria Lee*

21 APR 2015
2-5m

The relevant SHK Company (please specify):
相關新鴻基公司（請指明）:☒ SHKIS 新鴻基投資☐ SHKCOM 新鴻基期貨☐ SHKB 新鴻基金業☐ SHKFX 新鴻基外匯☐ SHKOS 新鴻基科網



ML/ TF Risk Assessment Form – Individual / Joint Account

(Note: This Risk Assessment Form (the "Form") is used to assess ML/ TF risk of a single individual. Please use additional Form(s) for Joint Account.)

Client Particulars	
Client's Name (both in English and Chinese)	: LAI SOU CHENG 黎素珍
HKID No.	: MACAU
Account Number	: 3506

Please complete Parts I to II below and tick the appropriate boxes after you have checked and obtained the related proof(s).

(Part I) Country Risk Test	
1) Does the client reside in (a) a High Risk Jurisdiction; or (b) a country connected with High Risk Jurisdiction(s) (e.g. countries (i) identified by the FATF with strategic AML/CFT deficiencies; (ii) subject to sanctions, embargos or similar measures issued by the UN) or (iii) which are vulnerable to corruption etc.)?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>

(Part II) Customer Risk Test	
1) Is the client a Politically Exposed Person ("PEP")**?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
2) Is/Are the client's spouse, partner, child(ren) or parent(s) a PEP/ PEPs**?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
3) Is/Are the spouse(s) or partner(s) of the client's child(ren) a PEP/PEPs**?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
4) Is/Are the client's close associate(s) a PEP/PEPs**?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
5) Is the client involved in cash-intensive business(es)? (e.g. Working or owning a money-exchange business or casino)	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
6) Do/Does the client's source(s) of funds (initial or ongoing) come from High Risk Jurisdiction(s)?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>

For Internal Use Only

To be completed by Investment Consultant ("IC"):

I, the undersigned IC, confirm that (1) I have completed Parts I and II herein above based on the information and documents provided by or for this client; and (2) I have carried out the necessary due diligence checks on this client in accordance with the requirements applicable to me (including all legal, regulatory and internal requirements). I am satisfied and conclude that the information provided in Parts I and II herein above is true, accurate and complete and is not misleading.

Additional notes re ML/TF risk of this client (if any):

IC's Signature: [Signature] IC's Name (CE No. / Staff No.): MAK HING AVA 406 1304 Team/ Dept: MACAU Date: 30/09/2014

Endorsed by Sales Department Head (or delegate):

Sales Department Head's Signature: [Signature] Sales Department Head's Name (or delegate): Aggie Ao Ieong Team/ Dept: Macau Branch Date: 6 Oct 2014



Client Particulars		
Client's Name (both in English and Chinese)	:	LA SON CHENG 黎素晶
HKID No. MACAU	:	[REDACTED]
Account Number	:	3706
For Credit Department Use Only		
Comments/ Remarks by Credit Department (if any):		
ML/TF Risk:		
Client should be classified as:		
<input type="checkbox"/> High Risk Client → adoption of EDD procedures		
<input checked="" type="checkbox"/> Others → adoption of CDD procedures		
Reviewed and Endorsed by Head of Credit / VP Credit:		
Signature of Head of Credit / VP Credit	Name of Head of Credit / VP Credit	Date

** A PEP is defined as:

- (a) an individual who is or has been entrusted with a prominent public function and
 - (i) includes a head of state, head of government, senior politician, senior government, judicial or military official, senior executive of a state-owned corporation and an important political party official;
 - (ii) but does not include a middle-ranking or more junior official of any of the categories mentioned in subparagraph (i);
- (b) a spouse, a partner, a child or a parent of an individual falling within paragraph (a) above, or a spouse or a partner of a child of such an individual; or
- (c) a close associate^{^^} of an individual falling within paragraph (a).

^{^^} a person is a "close associate" of an individual if the person is:

- (a) an individual who has close business relations with the first-mentioned individual, including an individual who is a beneficial owner of a legal person or trust of which the first-mentioned individual is also a beneficial owner; or
- (b) an individual who is the beneficial owner of a legal person or trust that is set up for the benefit of the first-mentioned individual.

Note: this Form (duly completed and signed) together with all supporting documents should be retained by Credit Department.

Court Writ Search

頁 1 / 1



Sun Hung Kai Financial Ltd - SUNCARMAN
Unit Expiry Date: 2015/7/16
Package: SPECIAL-SUN


[HISTORY](#) [ON SCREEN SEARCH](#) [Co. Info/Land](#) [Legal/Reg. Info](#) [CUSTOMER SERVICE](#) [LMS](#) [Logout](#)

Onscreen Search Court Writ Search

☒ Company Name / Person Name ☒ Defendant ☐ Plaintiff
☐ File Number [hints](#)
☐ Exact Match ☐ Chinese Name



Tips

- Please enter at least 3 characters for both Chinese and English Search (Except exact match)
- Either English or Chinese Characters
- Left Partial name
- Different Spacing
- Only the past 7 years' records are available

Reference number : 1777625

No record was found in the past 7 years.

http://www.i-search.com.hk/user/court_writ/index.asp

14/10/2014

HKSF - Public Register of Licensed Persons and Registered Institutions

頁 1 / 1

[Eng](#) [Sitemap](#) [Lodge a complaint](#) [Contact us](#)

Public Register of Licensed Persons and Registered Institutions

[Print](#)

[Home](#) [Public Register](#) [Search by name](#) [Search by activity](#) [List of sponsors](#)

License status

[Active](#) [Active and inactive](#)

Choose one of the following search option

Name search

By: [English name](#) [Chinese name](#)
on: [Corporation](#) [Individual](#)

LAI SOU CHENG

Central Entity Number (CE No.) Search

[Search](#)

Sorry, there is no name matched with "LAI SOU CHENG" in the Register.

In case of doubt, please contact the SFC at enquiry@sfc.hk.

Please follow these instructions in order to view Chinese characters properly in this Register.

Last update: 10 Oct 2014

HKSF - Public Register of Licensed Persons and Registered Institutions

頁 1 / 1

[Eng](#) [Sitemap](#) [Lodge a complaint](#) [Contact Us](#)

Public Register of Licensed Persons and Registered Institutions

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License status

[Active](#)[Active and inactive](#)

Choose one of the following search option

Name search

By: [English name](#) [Chinese name](#)

on: [Corporation](#) [Individual](#)

LAI SOUCHENG

Central Entity Number (CE No.) Search

[Search](#)

Sorry, there is no name matched with "LAI SOUCHENG" in the Register.

In case of doubt, please contact the SFC at enquiry@sfc.hk.

Please follow these instructions in order to view Chinese characters properly in this Register.

Last update: 10 Oct 2014

HKSF - Public Register of Licensed Persons and Registered Institutions

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License status

[Active](#)[Active and inactive](#)

Choose one of the following search option

Name search

By: [English name](#) [Chinese name](#)

on: [Corporation](#) [Individual](#)

Central Entity Number (CE No.) Search

Sorry, there is no name matched with "安泰品" in the Register.

In case of doubt, please contact the SFC at enquiry@sfc.hk.

Please follow these instructions in order to view Chinese characters properly in this Register.

Last update: 10 Oct 2014

Actimize ODS

Page 1 of 1

AML-WLF On-Demand Search

Currently

[\[Request Summary\]](#)[\[Alert Summary\]](#)[\[Customer Screening\]](#)[\[Payment Screening\]](#)[\[Deposit Screening\]](#)[\[Change Password\]](#)[\[Logout\]](#)

Customer Screening

Area of Business:

Bullion
 Enrichment
 FX
 Futures & Options
 SHKF Corporate Finance
 SHKF Fund Management
 SHKF Insurance
 Wealth Management

No hits against watch-lists being detected
 Reference ID: CUS_RQ_20141006144859671

Customer Account No: 16453506

Customer Name: LAI SOU CHENG

Other Names:
(separated by "|")

廖素品

Customer Type: INDIV - Individual

Address:
七海公路, 40
光華里, 12樓C
座

Country: MO - MACAO

ID / Passport / BR Number:

Date of Birth: 1969

(Date Format: yyyy-MM-dd)

Sex: F

Occupation:

Company:

AE Code: 0621180

Related Parties

Name:

(separated by "|")

ID / Passport Number:

(separated by "|")

Beneficiary

 Destinated Bank Account Name:
 (separated by "|")

Remarks:

Court Writ Search

頁 1 / 1



Sun Hung Kai Financial Ltd - SUNANGELA
Unit Expiry Date: 2015/7/16
Package: SPECIAL-SUN

HISTORY ON SCREEN SEARCH Co. Info/Land Legal/Reg. Info CUSTOMER SERVICE LMS Logout

Onscreen Search

Court Writ Search

☒ Company Name / Person Name ☒ Defendant ☐ Plaintiff
☐ File Number [hints](#)
☐ Exact Match ☐ Chinese Name



Tips

- Please enter at least 3 characters for both Chinese and English Search (Except exact match)
- Either English or Chinese Characters
- Left Partial name
- Different Spelling
- Only the past 7 years' records are available

Reference number : 1793729

No record was found in the past 7 years.

http://www.i-search.com.hk/user/court_writ/index.asp

15/12/2014

HKSF - Public Register of Licensed Persons and Registered Institutions

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[Eng](#) [中](#) [Sitemap](#) [Lodge a complaint](#) [Contact Us](#)

Public Register of Licensed Persons and Registered Institutions

[Print](#)[Home](#) [Public Register](#) [Search by name](#) [Search by activity](#) [List of sponsors](#)**License status**[Active](#)[Active and inactive](#)**Choose one of the following search option**

Name search

By: [English name](#) [Chinese name](#)on: [Corporation](#) [Individual](#)

Central Entity Number (CE No.) Search

[Search](#)

Sorry, there is no name matched with "LAI SOU CHENG" in the Register.

In case of doubt, please contact the SFC at enquiry@sfc.hk.

Please follow these Instructions in order to view Chinese characters properly in this Register.

Last update: 12 Dec 2014

<http://www.sfc.hk/publicregWeb/searchByName?locale=en>

15/12/2014

注意：本文件乃中文文本，若內容與英文版本有任何不同之處，當以英文版本為準。
如欲索取英文版本，請向負責處理閣下開戶申請之投資顧問或銷售部門索取或到下列網址取覽（請參閱本協議附件六第10條款）。



SUN HUNG KAI INVESTMENT SERVICES LIMITED
新鴻基投資服務有限公司

CLIENT AGREEMENT AND SCHEDULES
客戶協議及附件

July 2013 Edition
二零一三年七月版

SUN HUNG KAI INVESTMENT SERVICES LIMITED
新鴻基投資服務有限公司

Licensed under the Securities and Futures Ordinance (Cap.571, Laws of Hong Kong) to carry on Type 1
(dealing in securities) and Type 4 (advising on securities) regulated activities (CE Number: AAC153)

根據《證券及期貨條例》（香港法例第571章）獲發牌進行第1類（證券交易）和
第4類（就證券提供意見）之受規管活動（中央編號：AAC153）

Exchange Participant and Options Trading Exchange Participant of The Stock Exchange of Hong Kong Limited

香港聯合交易所有限公司交易所參與者及期權買賣交易所參與者

B Share Seat Holder of the Shanghai Stock Exchange

上海證券交易所B股席位持有人

B Share Special Seat Holder of the Shenzhen Stock Exchange

深圳證券交易所B股特別席位持有人

Address: 28/F, The Lee Gardens, 33 Hysan Avenue, Causeway Bay, Hong Kong

Tel: (852) 3920 2888 Fax: (852) 3920 2789

Customer Service Hotline: (852) 2822 5001

Anti-Fraud Helpline: (852) 3920 2980 (Please see Clause 21.5.2 inside)

Website: www.shkf.com

地址：香港銅鑼灣希慎道33號利園28樓

電話：(852) 3920 2888 傳真：(852) 3920 2789

客戶服務熱線：(852) 2822 5001

懷疑詐騙熱線：(852) 3920 2980（請參閱內文第21.5.2條款）

網址：www.shkf.com

本人確認已簽收此文件：

黎素明

日期：30/09/2014

THIS IS AN IMPORTANT DOCUMENT. PLEASE READ IT CAREFULLY.

CLIENTS MUST NOTE THAT THE PRICES OF SECURITIES CAN AND DO FLUCTUATE. SECURITIES PRICES MAY EXPERIENCE SHARP DOWNWARD OR UPWARD MOVEMENTS AND SECURITIES MAY UNDER SOME CIRCUMSTANCES BE SUSPENDED FROM TRADING OR BECOME VALUELESS. THERE IS AN INHERENT RISK THAT LOSSES MAY BE INCURRED RATHER THAN PROFIT MADE AS A RESULT OF TRADING OR INVESTING IN SECURITIES. IF YOU ARE IN ANY DOUBT ABOUT THIS DOCUMENT OR ABOUT THE SALE AND PURCHASE OF SECURITIES OR OTHERWISE, YOU SHOULD CONSULT YOUR SOLICITOR, ACCOUNTANT OR OTHER INDEPENDENT PROFESSIONAL ADVISERS.

THERE ARE RISKS ASSOCIATED WITH THE USE OF MARGIN FACILITIES AND MARGIN TRADING IN SECURITIES BUYING OR SELLING. YOU SHOULD READ THIS DOCUMENT CAREFULLY BEFORE YOU DECIDE TO ACCEPT THE MARGIN FINANCING ARRANGEMENT. THERE ARE RISKS ASSOCIATED WITH USING THE INTERNET OR OTHER ELECTRONIC TRADING SERVICE WHICH ARE ADDITIONAL TO THOSE NORMALLY INCURRED IN SECURITIES TRADING.

此乃重要文件，懇請細閱。

客戶必須留意，證券價格可並定會波動。證券價格可能急劇下跌或上升，在某些情況下證券更可能被暫時停止買賣或變成毫無價值。除可能獲利外，亦可能有損失，此乃證券交易或投資本身之風險。閣下若對本文件、證券買賣或其他方面有任何疑問，應諮詢閣下之律師、會計師或其他獨立專業顧問。

在證券買賣中使用孖展額及孖展交易存在相關風險。在決定接受孖展融資安排之前，閣下應當仔細閱讀本文件。使用互聯網或其他電子交易服務時，除了通常的證券交易風險之外，亦存在其他相關之額外風險。



MEMORANDUM

To : Credit Dept / Branch Operations

From : Macau Branch

Date : 30 / 9 / 2014

Subject : Identification of ML&T in Account Opening & CDD

Reference : MC 250 / 2014

Number of pages : 1

SHK A/C No.	Name of Account Holder(s)	Name of Ultimate Beneficiary (if not A/C holder)
3506	1) LAI SOU CHENG 2)	1) 2)
TFB Sub A/C No.	Name of Authorized Person(s)	Name of Authorized Third Party
736-3	1) 2)	1) NIL 2)

As a SFC licensed person, I declare that I have checked the name of above account holders and related person(s) against the ML&T List maintained by Credit Dept, which can be accessed via SHK Intranet website. * (please circle)

My checking result : NAME MATCH Yes / (No) (remark :)

To my best knowledge and diligence, I further declare that the above account holder(s) and / or related person(s) are :

1) 公眾人物 (PEP) 或 其關連人	Yes / (No) (remark :)
2) 香港證監會註冊人士 / 持牌法團 之 僱員或其關連人	Yes / (No) (remark :)
3) 任何地區上市公司 之 董事或高級人員或其關連人	Yes / (No) (remark :)
4) 博彩公司 / 博彩中介人 / 娛樂場酒店 之 僱員或其關連人	Yes / (No) (remark :)

I have also collected the true copy of below documents for the company's record : (please tick, if any)

Identity document

- () Macau ID Card () MSAR Travel Permit
 () HKID Card () Document of Identity
 () PRC ID Card () PRC Travel Pass
 () Passport () MSAR Entry Pass of Port(s)

Reference document

- () proof of active bank account
 () proof of residential address
 () proof of investment experience
 () employer's consent letter

Declared by

Doc. Checked by

Noted by

Noted by

AE - MAC Hoi Ning

Settlement staff

Tony Wong / Aggie Ao Leong

Credit Dept /
 Client Onboarding

Macau Manager's or Credit Dept comment: (if any) Type () - Require En.CDD ()

香港銅鑼灣希慎道33號利園28樓

電話 : (852) 3920 2888

傳真 : (852) 3920 2789

網址 : www.shkf.com

28/F, The Lee Gardens, 33 Hysan Avenue, Causeway Bay, Hong Kong

General Line : (852) 3920 2888

Fax : (852) 3920 2789

Website : www.shkf.com

客戶開戶須知 - 澳門分行

根據澳門金融管理局的有關要求，金融服務中介人必須在了解你的客戶的基礎上開展業務。鑑此，本分行請貴客戶在開立帳戶時及帳戶存續期間向本行提供有效的身份證明文件/公司商業登記資料及住址證明，並應填寫貴客戶之職業/行業、開戶用途及資金來源等資料。

1. 客戶必須提供以下有效證明文件：

居民種類	身份證明文件
本地居民	澳門居民身份證 [*非永久證持有人需提交原居地護照或澳門特區旅行證]
香港居民	香港居民身份證
中國內地居民	內地居民身份證 及 中國護照或通行證
外地居民	國籍護照 及 入境證明 及 本地工作證明 (俗稱 藍卡)

2. 客戶必須填寫職業及居住住址並請提供以下文件作住址證明：

本地居民	須出示最近三個月內由本地政府機關、或公用事業機構、或金融機構發出印有客戶姓名及住址的單據文件正本。(不完整之文件或傳真文書，恕不接納) (例如：本地銀行寄發的月結單，水電費賬單，固網電話/寬頻上網的賬單)
非本地居民	須出示最近三個月內由本地政府機關、或公用事業機構、或金融機構發出印有客戶本人姓名及住址的單據文件正本；或 所住國家地區當地政府機關、或公共事業機構、或金融機構發出印有客戶姓名及地址的單據文件正本。

3. 客戶開戶時請提供 貴客戶在澳門銀行收款戶口號碼；轉賬方式到大豐銀行戶口收款為免費，本票方式收款需扣除手續費港幣五十元(HKD50)

請注意：

我們的客戶經理 (Account Executive) 有責任在開戶過程中按客戶所選擇語言(英文或中文)提供「客戶協議」及載於其中或附隨的「風險披露聲明書」，並會邀請客戶閱讀該「客戶協議」及「風險披露聲明書」、提出問題及徵求其他獨立的意見。

我們鼓勵閣下保留「客戶協議」及閣下已簽立開戶文件之副本以作日後參閱，客戶不應簽署任何空白表格或開戶文件。如有需要，請向澳門分行之客戶服務主任或分行主管查詢。

本分行並無現金出納櫃台 (Cashier Counter)，貴客戶須將支付交易款項之現金或劃線支票直接存入新鴻基於大豐銀行之客戶專屬附屬戶，於收訖後以進行買賣。客戶專屬附屬戶之賬戶號碼會於客戶成功開戶後由客戶經理 (Account Executive) 通知 貴客戶或 貴客戶可隨時直接向本分行主管查詢。附屬戶賬戶名稱格式一律為「新鴻基附屬戶 - 客戶的身份證明文件全名」。

新鴻基總行會於確認款項收訖後 (通常為客戶存款日之下一個營業日)，直接從香港以平郵寄出存入款項收訖通知書 (Confirmation Note) 給 貴客戶為荷，貴客戶於新鴻基的存款記錄亦會於確認的同一營業日更新。


客戶若對開戶過程、戶口運作及交易之安排有任何疑問，請電(853)-2878-1212 向分行之客戶服務主任查詢或可直接發送電郵至 macau.branch@shkf.com 與澳門分行主管聯絡。如有任何投訴，可致電(852)-2822-5001 或直接發送電郵至 cs@shkf.com 與新鴻基總行聯絡。

證券價格皆可能下跌，在某些情況下證券更可能被暫時停止買賣或變成毫無價值。除可能獲利外，亦可能有損失，此乃證券買賣本身之風險。客戶在作出任何投資買賣決定前，須評估本身承受風險的意願及能力，並了解有關產品的性質及風險。

貴客戶須注意不應將支付交收之款項存入其他人仕所持有之戶口。

最後，客戶若對開戶文件、證券買賣或其他方面有任何疑問，應諮詢閣下之律師、專業會計師或其他專業顧問的意見。

準客戶簽收「客戶協議」及 開戶文件之副本：



日期：30/09/2014

3506

最後更新日期：2012年9月5日

電 費 單 • FACTURA • BILL



客戶姓名
LAI SOU CHENG
七海公路, 40
美豐臺, 12樓C
氹仔

客戶姓名
LAI SOU CHENG
七海公路, 40
美豐臺, 12樓C
氹仔

客戶姓名
LAI SOU CHENG
七海公路, 40
美豐臺, 12樓C
氹仔

ESTRADA DE SETE TAVOAS 40
JARDINS DE LISBOA (CDF VISTA LINDA)
12 ANDAR C TAPPA

合約號碼
收費類別
按金

5000313880
A1
澳門幣 219.00

聯繫電話: 1751562671

繳費時間: 由 23/08/2014 至 22/09/2014

發單日期: 22/09/2014

項目	單位	單位價格	金額 (澳門幣)
功率費	11.6	3.372	38.78
電費	790	0.963	760.77
收費調整系數			284.40
政府稅			2.50
本期費用			1,086.45
本月政府電費補貼			-200.00
上月費用			720.00
繳費 (08/09/2014) - 多退			-720.00
上月零數過水			7.06
零數撥入下月			-3.51

新瑞基投資服務有限公司-澳門分行
See Hung Kai Investment Services Limited - Macao Branch

I hereby certify that this is a true copy of the original document which I have seen and that I have met the individual and can confirm that photograph is a true likeness.

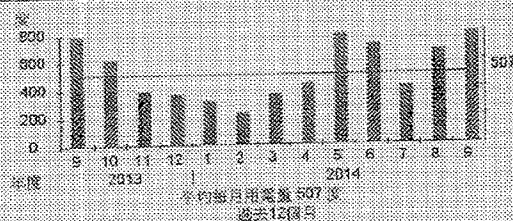
Name of Certifier	MAC HUI NING
Job Title	IC
Date	30/09/2014
Signature	[Signature]

請於此日期前繳付: 07/10/2014

890.00

本月電費將於 07/10/2014 透過自動轉帳在您的中國銀行戶口內扣除。
於到期付款日後繳費須繳付逾期附加費。
若於 15/10/2014 仍未繳費, 供電服務將被暫停。

用電量紀錄表



讀錶資料

其	31	日	用電量
由	23/08/2014	至	22/09/2014
下月抄錶日期	22/10/2014		
電錶號碼	本月讀數	上月讀數	差數
164621	52956	52165	10
			用電量(度)
			790

資訊

按計劃規定, 累積未使用政府電費補貼可於計劃結束後24個月內繼續使用。上限為澳門幣4,000(200x24)
歡迎15歲以下青少年及兒童參加於10月12日上午11時至下午4時30分假塔石廣場舉行的電力同樂日, 豐富獎品包括iPad Air及Beats Pro耳機!
累積未使用政府電費補貼 302.33

收據

蓋印有效

請於繳費時交回此部份



5000313880 合約號碼	890.00 應付金額	07/10/2014 到期日期	15/10/2014 繳清電費日期	BOC01 自動轉帳銀行
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1, 58

34-83-2033 34-83-2033

04-02-2010



新鴻基投資服務有限公司-澳門分行
Sun Hong Kai Investment Services Limited - Macau Branch

I hereby certify that this is a true copy of the original document which I have seen and that I have not in any material and essential manner changed the substance of the original document.

Name of Certifier	MAR. HOL NURS
Job Title	CC
Date	30/09/2014
Signature	[Signature]

澳門特別行政區
REGIÃO ADMINISTRATIVA ESPECIAL DE MACAU
永久性居民身份證
BILHETE DE IDENTIDADE DE RESIDENTE PERMANENTE

[illegible]

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LAI<SOU<CHENG<<<<<<<<<<<<<<



3506 Margin
+ U.S. Trade

003037

ACCOUNT APPLICATION
(Individual Account)

開戶申請表
(個人帳戶)

香港銅鑼灣希慎道33號利園28樓
電話 : (852) 3920 2888
傳真 : (852) 3920 2789
客戶服務熱線 : (852) 2822 5001
網址 : www.shkf.com

28/F, The Lee Gardens, 33 Hysan Avenue, Causeway Bay, Hong Kong
General Line : (852) 3920 2888
Fax : (852) 3920 2789
Customer Service Hotline : (852) 2822 5001
Website : www.shkf.com

3506 + IS margin
(IS margin)

Note: This is an important document. You (the "Applicant") should carefully read and fully understand the contents of this Account Application and depending on the account(s) and the services (if applicable) chosen by you immediately below, the attached Client Agreement(s) and Schedules and Appendix(ces) (if any) and Supplement(s) (if any) thereto (collectively "Client Agreement") in respect of SHKIS, SHKCOM, SHKB, SHKFX and/or SHKOS (as defined below) and where appropriate, the Terms and Conditions for OTC Swap Transactions (Individuals) ("OTC Swap T&Cs (Individuals)"), the OTC Swap Account Annex and the Application for Electronic Services (as defined in Clause (14) of Section G) as well as other related documents as specified by the SHK Company (as defined below). The foregoing documents are together hereinafter referred to as the "Documents". In this Account Application, "SHK Group" means the group of companies comprising SHKIS, SHKCOM, SHKB, SHKFX and SHKOS together with Sun Hung Kai Financial Limited ("SHKFL") and SHKFL's subsidiaries and associated companies and "SHK Company" means the company(ies) of SHK Group to which this Account Application is submitted in relation to the account(s) and the services (if applicable) chosen by the Applicant immediately below. Before signing the Documents, the Applicant should first seek independent legal and other professional advice as necessary. In case of discrepancies between the English and Chinese versions of this Account Application, the English version shall prevail.

註：此乃重要文件。閣下（即「申請人」）應仔細閱讀並充份理解本開戶申請表及依據閣下以下所選擇之一個或多個帳戶及服務（若適用）而隨本文件附上有關新鴻基投資、新鴻基期貨、新鴻基金業、新鴻基外匯及／或新鴻基外匯（詳見下）之客戶協議及其／其等附件及附錄（若有）及補充（若有）（註稱「客戶協議」）及當適用、境外掉期交易之條款及細則（個人）（「境外掉期條款及細則（個人）」）、「境外掉期帳戶附件」及電子服務申請書（詳見第G項第(14)條）以及新鴻基公司（詳見下）不時指定的其他相關文件。上述文件以下統稱為「文件」。於本開戶申請表，「新鴻基集團」指包括新鴻基投資、新鴻基期貨、新鴻基金業、新鴻基外匯及新鴻基外匯，連同新鴻基金業有限公司（「新鴻基金業」）及其附屬公司及相關公司等集團成員公司；同時，「新鴻基公司」指相對於申請人以下所選擇之一個或多個帳戶及服務（若適用）而將本開戶申請表向其／其等呈交之一個或多個新鴻基集團的公司。申請人在簽署文件前，必須尋求獨立法律及（如需要）其他專業意見。倘若本開戶申請表的中英文本有任何歧異，概以英文本為準。

To SHK Company: Please open and maintain the following type(s) of non-discretionary individual account(s) ("Account").

(Please see Clause (1) of Section G of this Account Application)

致新鴻基公司：請開設及維持以下非全權代客買賣個人帳戶（「帳戶」）（請參閱本開戶申請表G項第(1)條）：

(Please check the appropriate box(es) 請選擇合適者)

COMPANY 公司	TYPE OF ACCOUNT 帳戶種類	ELECTRONIC & OTHER SERVICES 電子及其他服務
<input checked="" type="checkbox"/> Sun Hung Kai Investment Services Limited ("SHKIS") 新鴻基投資服務有限公司（「新鴻基投資」） (CE Number 中央編號：AAC153)	<input type="checkbox"/> Cash Securities Trading Account(s) 現金證券交易帳戶	<input checked="" type="checkbox"/> Online U.S. securities trading services 網上美股買賣服務
	<input checked="" type="checkbox"/> Margin Securities Trading Account(s) 孖展證券交易帳戶	<input checked="" type="checkbox"/> Online H.K. securities trading services 網上港股買賣服務
	<input type="checkbox"/> Stock Options Trading Account(s) 股票期權交易帳戶	<input type="checkbox"/> Instruction of fund transfer and stock trading through IVRS (interactive voice response system) 經音頻電話系統指示現金轉帳及股票買賣之服務
	<input type="checkbox"/> Collective Investment Account(s) 集合投資帳戶	<input type="checkbox"/> Online stock options trading services 網上股票期權買賣服務
<input type="checkbox"/> Sun Hung Kai Commodities Limited ("SHKCOM") 新鴻基期貨有限公司（「新鴻基期貨」） (CE Number 中央編號：AAF237)	<input type="checkbox"/> OTC Swap Account(s)* 境外掉期帳戶*	
	<input type="checkbox"/> Commodities Trading Account(s) 期貨交易帳戶	<input type="checkbox"/> Online futures trading services 網上期貨買賣服務
<input type="checkbox"/> Sun Hung Kai Bullion Company Limited ("SHKB") 新鴻基金業有限公司（「新鴻基金業」）	<input type="checkbox"/> Bullion Trading Account(s) 黃金交易帳戶	<input type="checkbox"/> Online bullion trading services 網上黃金買賣服務
<input type="checkbox"/> Sun Hung Kai Forex Limited ("SHKFX") 新鴻基外匯有限公司（「新鴻基外匯」） (CE Number 中央編號：AC1995)	<input type="checkbox"/> Leveraged Foreign Exchange Trading Account(s) 槓桿式外匯交易帳戶	<input type="checkbox"/> Online leveraged foreign exchange trading services – Web-based version 網上槓桿式外匯交易買賣服務 – 網頁版
	<input type="checkbox"/> Global Payment Account(s) – Spot FX 環球付款帳戶 – 現貨外匯	<input type="checkbox"/> Online leveraged foreign exchange trading services – Download version 網上槓桿式外匯交易買賣服務 – 下載版
	<input type="checkbox"/> Global Payment Account(s) – Forward FX 環球付款帳戶 – 遠期外匯	<input type="checkbox"/> Online spot money exchange and remittance services 網上現貨外匯兌換及匯款服務
<input type="checkbox"/> SHK Online (Securities) Limited ("SHKOS") 新鴻基科網（證券）有限公司（「新鴻基科網」） (CE Number 中央編號：AAC483)	<input type="checkbox"/> Online forward money exchange and remittance services 網上遠期外匯兌換及匯款服務	
	<input type="checkbox"/> Cash Securities Trading Account(s) 現金證券交易帳戶	<input type="checkbox"/> Online stock options trading services 附設網上股票期權買賣服務
	<input type="checkbox"/> Margin Securities Trading Account(s) 孖展證券交易帳戶	<input type="checkbox"/> With online H.K. securities trading services & instruction of stock trading through IVRS 附設網上港股買賣服務與經音頻電話系統指示股票買賣之服務
	<input type="checkbox"/> Stock Options Trading Account(s) 股票期權交易帳戶	<input type="checkbox"/> With online stock options trading services 附設網上股票期權買賣服務

* Please complete the OTC Swap Account Annex.
* 請填寫「境外掉期帳戶附件」。

FOR EXISTING CLIENT USE ONLY 只供現有客戶使用

(1) Account No. 帳戶號碼: 3285(2) Does the Applicant confirm that his/her personal data have not been changed and give consent to use the personal information maintained in existing account(s) (with account no. mentioned above) for this account opening application? (If yes, please skip Section A question 3 - 14)
申請人是否確認他/她的個人資料沒有更改，並同意使用上述現有帳戶的個人資料以作本開戶申請用途？（如是，請跳過A項問題3 - 14）☐ Yes 是 ☒ No 否

Personal Information 個人資料

(1) Name (in English): Mr/Ms/Miss/Ms* Surname: LAI 黎 Given Name: SEU CHENG 素貞
姓名 (中文): 先生/太太/小姐/女士* 姓 名
* Please delete as appropriate 請刪去不適用者(2) Date of Birth: 1969 Nationality: CHINESE Identity Card or Passport No.:
出生日期 DOB(日) MM(月) YYYY(年) 國籍 身份證或護照號碼Identity Document Type: ☐ HKID ☐ CNID ☒ Macau ID ☐ Passport ☐ Others (Please specify):
身份證文件類別 香港身份證 中國身份證 澳門身份證 護照 其他 (請註明):(3) Marital Status: ☐ Single ☒ Married with child(ren) ☐ Married without child ☐ Others
婚姻狀況 未婚 已婚有子女 已婚未有子女 其他(4) Education Level: ☐ Primary ☒ Secondary ☐ Post secondary ☐ University or above
學歷 小學 中學 預科/專上學院 大學或以上

(5) Residential Address 住址: (Please provide address proof within the recent 3 months 請提供最近3個月的地址證明)

C112 美景苑 140 澳門氹仔
Flat 室 Floor 樓數 Block 座數 House 樓/Building 大廈 Estate 屋苑/Garden 花園
No. and Name of Street 門牌號碼及街道名稱 District 分區/Area 地區 Country 國家

Apt. 12C, edf. Vista Linda, No. 40 Estrada De Sete Tanques, Taipa, Macau

Nature of Occupancy 住宅類別:

☒ Owned 自置 ☐ Rented 租用 ☐ Family property 家人物業 ☐ Quarter 宿舍☐ Others (Please specify) 其他 (請說明):

(6) Permanent Address 永久地址:

☒ Same as residential address 與住址相同☐ Otherwise, please specify 若與住址不同，請說明: (Please provide address proof within the recent 3 months 請提供最近3個月的地址證明)
Flat 室 Floor 樓數 Block 座數 House 樓/Building 大廈 Estate 屋苑/Garden 花園
No. and Name of Street 門牌號碼及街道名稱 District 分區/Area 地區 Country 國家(7) Home Tel No. 住宅電話號碼: NIL(8) Mobile Phone No. 手提電話號碼: (853) 66435744

(9) Employer (if self-employed, please state "self-employed" and the relevant trading/company name)

僱主 (如屬自僱，請註明「自僱」及相關的經營/公司名稱): NIL

Nature of Business of

Employer 僱主業務性質: NILPosition 職位: Housewife

Years of Service with

Employer 服務僱主年期: NIL

(10) Business/Office Address 營業/辦公地址:

Tel No. 電話號碼: NILNIL
Flat 室 Floor 樓數 Block 座數 House 樓/Building 大廈 Estate 屋苑/Garden 花園
No. and Name of Street 門牌號碼及街道名稱 District 分區/Area 地區 Country 國家(11) Fax No.: NIL

傳真號碼 Residential 住宅/Business 營業 (Please choose 請選擇)

(12) Email Address: soucheng_lai@topgroup.biz

電子郵件地址

(13) Correspondence Address 通訊地址：

☒ Same as residential address 與住址相同 ☐ Same as business/office address 與營業／辦公地址相同

☐ Other address, please specify 其他地址，請說明：

Flat 室 Floor 樓座 Block 座號 House 樓宇/Building 大廈 Estate 屋苑/Garden 花園

No. and Name of Street 門牌號碼及街道名稱 District 地區/區名 Country 國家

(14) Language used in and method of delivering contract notes, daily & monthly statements of account, confirmations and the like 成交單、帳戶日結單及月結單、確認函及同類文件所用之語言及送遞方法

Email* 電郵* ☐ English 英文發出 ☐ Chinese 中文發出

If you choose to receive electronic account statements, you can read your account statements through email. Accordingly, in the interest of environmental protection, you will not receive account statements by post. 如閣下選擇接收電子帳戶結單，您可經電郵閱覽帳戶結單。基於環境保護的考慮，閣下將不會收到以郵件寄發的帳戶結單。

☒ By post to correspondence address** ☐ English 英文發出 ☒ Chinese 中文發出

* Please see Clause (9)(i) in Section G 請參閱G項第(9)(i)條

If you choose to receive contract notes, daily & monthly statements of account, confirmations and the like by email, you agree to complete and sign such further form (e.g. an Application for Electronic Services (as defined in Clause (14) of Section G)) as may be subsequently required by the SHK Company from time to time. 若閣下選擇接收成交單、帳戶日結單及月結單、確認函及同類文件，閣下同意填妥及簽署新鴻基公司可能不時要求的表格（例如：電子服務申請書（有關第G項第(14)條））。

** Note: The contract notes, daily & monthly statements of account, confirmations and the like will be sent to the email address(es) as designated in Item (12) of Section A (or where applicable, the latest email address(es) you have notified the relevant SHK Company). If you would like to receive these documents by post, subject to applicable legal and regulatory requirements, the relevant SHK Company may charge a reasonable fee which may be amended by the relevant SHK Company at any time and from time to time without prior notice. For details of the said fee, please refer to the fee schedule accompanying the Client Agreement of the relevant SHK Company or on the website of the relevant SHK Company. 註：成交單、帳戶日結單及月結單、確認函及同類文件將會寄送至A項第(12)項所指定的電郵地址（或適用，閣下已通知相關新鴻基公司之最新近約電郵地址）。然而，如閣下希望透過郵寄方式收到此等文件，在受相關適用法律及規管的要求下，相關新鴻基公司可隨時及不時修訂該費用而不作事先通知，就上述費用的詳情，閣下可參閱附於相關新鴻基公司客戶協議或於相關新鴻基公司網站上的收費表。

Financial Profile 財務概況

(15) Annual Income (HK\$) (Note*) 年收入（以港元計）（註*） ☒ ≤ \$250,000 ☐ \$250,001 - \$500,000 ☐ \$500,001 - \$1,000,000 ☐ > \$1,000,000

(16) Net Assets (HK\$) (Note*) 資產淨值（以港元計）（註*） ☐ ≤ \$50,000 ☐ \$50,001 - \$200,000 ☐ \$200,001 - \$500,000 ☐ \$500,001 - \$1,000,000 ☐ \$1,000,001 - \$5,000,000 ☐ \$5,000,001 - \$10,000,000 ☒ \$10,000,001 - \$40,000,000 ☐ > \$40,000,000

(17) Liquid Assets (HK\$) (Note*) 流動資產（以港元計）（註*） ☐ ≤ \$50,000 ☐ \$50,001 - \$200,000 ☐ \$200,001 - \$500,000 ☒ > \$5,000,000 ☐ \$500,001 - \$1,000,000 ☐ \$1,000,001 - \$5,000,000

(18) Initial Source(s) of Wealth 最初財富來源：

☐ Salary and/or bonus 薪金及／或花紅 ☒ Savings 儲蓄 ☐ Business income 業務收入

☒ Return on investment 投資回報 ☐ Retirement funds 退休金

☐ Inheritance or gift 遺贈或禮物 ☐ Others (Please specify) 其他（請說明）：_____

(19) Ongoing Source(s) of Wealth 持續財富來源：

☒ Same as Initial Source(s) of Wealth 與最初財富來源相同

☐ Others (Please specify) 其他（請說明）：_____

(20) Initial/Ongoing Source(s) of Funds 最初／持續資金來源：

(a) Means of fund transfer(s) 資金轉移的方式：

☒ Cash 現金 ☐ Telegraphic transfer 電匯 ☒ Cheque/Bank draft 支票／銀行匯票

☒ Others (Please specify) 其他（請說明）：bank AC Transfer

(b) Country(ies) of Origin(s) 資金來源地：

☐ Hong Kong 香港 ☐ Mainland China 中國內地 ☒ Macau 澳門 ☐ Singapore 新加坡

☐ United States 美國 ☐ Canada 加拿大 ☐ Others (Please specify) 其他（請說明）：_____

Note*: Please choose one of the options only 註*：請只選擇其中之一項

Is the Applicant 申請人是否：

(1) a senior officer or director of any (listed) company whose shares are traded on any exchange or market? (If yes, please specify the company name and stock code.)
任何其股份在交易所或市場買賣的（上市）公司之高級人員或董事？（如是，請說明公司名稱及股份編號。）

☐ Yes 是 () ☒ No 否

(2) a person licensed by or registered with the Hong Kong Securities and Futures Commission* or an employee of such person? (*If yes, please specify his/her CE No.)
香港證券及期貨事務監察委員會持牌或註冊人士或該人士之僱員？（如是，請說明他／她的中央編號。）

☐ Yes 是 () ☒ No 否

(3) a relative of the Investment Consultant responsible for the Applicant's Account(s) to be opened with SHK Group? (If yes, please state the relationship.)
此帳戶之負責客戶經理之親屬？（如是，請陳述與之關係。）

☐ Yes 是 () ☒ No 否

(4) a U.S. citizen, a green card holder or residing in the U.S.?
美國公民、綠卡持有人或居住於美國？

☐ Yes 是 ☒ No 否

(5) born in the U.S.?
出生於美國？

☐ Yes 是 ☒ No 否

Is/Are (i) the Applicant; and/or (ii) spouse, partner, child(ren) and/or parent(s) of the Applicant; and/or (iii) spouse(s) or partner(s) of the child(ren) of the Applicant; and/or (iv) close associate(s)** of the Applicant:
(i) 閣下；及／或 (ii) 閣下之配偶、伴侶、子女及／或父母；及／或 (iii) 閣下子女的配偶或伴侶；及／或 (iv) 與閣下關係密切的人**是否：

(6) entrusted with prominent public functions (e.g. Head of State or of government, senior politicians/important political officials, senior government officials, senior judicial officials, senior military officials, senior executives of state owned enterprises or religious leaders)? (If yes, please specify.)
被委任為重要公職（例如：國家或政府元首、重要政客、高級政府官員、高級司法人員、高級軍官、國有企業高級行政人員或宗教領袖）？（如是，請說明。）

☐ Yes 是 () ☒ No 否

** a person is a "close associate" of an individual if the person is:
如某人符合以下說明，該人即屬與某個人（普通個人）關係密切的人：
(a) an individual who has close business relations with the first-mentioned individual, including an individual who is a beneficial owner of a legal person or trust of which the first-mentioned individual is also a beneficial owner; or
該人是與該個人有密切業務關係的個人（在普通個人屬某法人或信託的實益擁有人的情況下，包括同樣屬該法人或信託的實益擁有人的個人）；或
(b) an individual who is the beneficial owner of a legal person or trust that is set up for the benefit of the first-mentioned individual.
該人是屬某法人或信託的實益擁有人，而該法人或信託是為該個人的利益而成立的。

CONFIDENTIAL - NOT APPLICABLE FOR MARGIN SECURITIES TRADING ACCOUNT

(1) Is your spouse a margin client of any company of SHK Group? (If yes, please provide details.)
申請人的配偶是否新鴻基集團之任何公司的孖展客戶？（如是，請提供詳情。）

☐ Yes 是 () ☒ No 否

(2) Do you alone or jointly with your spouse control 35% or more of the voting rights of a corporate margin client of any company of SHK Group? (If yes, please provide details.)
申請人是否單獨或與配偶共同控制新鴻基集團之任何公司的一個孖展公司客戶35%或以上的表決權？（如是，請提供詳情。）

☐ Yes 是 () ☒ No 否

(3) Is the Applicant, or was the Applicant at any time during the past 12 months, directly or indirectly (e.g. through a body corporate), whether or not together with other person(s) and/or entity(ies), connected or associated with any director (including any ex-director within the past 12 months), chief executive or substantial shareholder** of any company of SHK Group ("Connected Person")? (If yes, please provide such details as requested by the SHK Company.)
申請人是否現在或於過去十二個月內任何時間，直接或間接（例如：透過一法人團體），不論是否聯同其他人士及／或實體，與新鴻基集團之任何公司的任何董事（包括過去十二個月內之前董事）、行政總裁或主要股東**有所關連（「有關連人士」）？（如是，請提供新鴻基公司所要求的詳情。）

☐ Yes 是 () ☒ No 否

* "Substantial shareholder" means, in relation to a company, a person who is entitled to exercise, or control the exercise of, 10% or more of the voting power at any general meeting of that company.
「主要股東」指，就一間公司而言，任何人士凡於該公司之任何股東大會擁有權行使，或可控制行使，10%或以上之表決權。
Examples of Connected Person include a spouse, child (legitimate or not, natural or adopted), step-child (legitimate or not, natural or adopted), parent, father-in-law, mother-in-law, son-in-law, daughter-in-law, grandparent, grandchild, uncle, aunt, cousin, brother-in-law, sister-in-law, nephew and niece of the above-mentioned director, ex-director, chief executive or substantial shareholder, a trustee of or for any of the foregoing persons and a partner of any of the foregoing persons (including any aforesaid trustee).
有關連人士例子包括上述董事、前董事、行政總裁或主要股東之配偶、子女（不論是否合法、親生或領養）、繼子女（不論是否合法、親生或領養）、父母、配偶的父母、子女的配偶、祖父母、外祖父母、孫及外孫、父母的兄弟姊妹及其配偶、堂兄弟姊妹、表兄弟姊妹、兄弟姊妹的配偶、配偶的兄弟姊妹、以及兄弟姊妹的子女、任何前述人士的或為任何前述人士的受託人及任何前述人士（包括任何前述受託人）的合夥人。

(1) Capacity of the Applicant 申請人之身份

Is the Applicant 申請人是否

a. the ultimate beneficiary of the Account and transactions ("ultimate beneficiary")
(Normally SHK Group would not accept an Applicant who is not the ultimate beneficiary.)
帳戶及交易的最終實益持有人 ("最終實益持有人")?
(新鴻基集團一般情況下不會接受非最終實益持有人之申請人。)

b. ultimately responsible for originating instructions (trading and/or others) for the Account?
(Please complete SHK Group's "Declaration of person(s) ultimately responsible for originating the instruction in relation to a transaction".)
為此帳戶之最終負責作出指示 (交易及/或其他指示) 的人士?
(請填寫新鴻基集團的「最終負責作出交易指示的人士/實體之聲明」。)

c. the only person with authority to operate the Account?
(Please complete "Third Party Authorisation - Individual or Joint Account".)
唯一有權操作此帳戶者?
(請填寫「第三者授權表格 - 個人或聯名帳戶」。)

(2) Details of the Applicant's bank account for payment of money (if any) by the SHK Company to the Applicant (under the name of the Applicant).
可供新鴻基公司用作支付任何款項 (若有的話) 予申請人之銀行帳戶詳細資料 (需以申請人名義持有)。
Further, the Applicant hereby agrees that if this Account Application is approved by the relevant SHK Company, the bank account below shall be used to receive payments (if any) to the Applicant in accordance with the Documents.
再者, 申請人現同意, 若本關戶申請表獲相關新鴻基公司所核准, 以下銀行帳戶將被用作接受按文件給予申請人的款項 (如有的話)。

Designated bank: TAI FUNG BANK Bank account no.: 228-2
指定銀行 銀行帳戶號碼

Name of bank account holder: LAI SOU CHENG
銀行帳戶持有人姓名

Applicant's signature
申請人簽署 : Lai Sou Cheng

For Cash Securities Trading Account
現金證券交易帳戶

Proposed Settlement Limit: HK\$ _____ 港元
建議結算限額

For Margin Securities Trading Account
孖展證券交易帳戶

Proposed Credit Limit: HK\$ 2,500,000 港元
建議貸款限額

Overdraft Interest Rate 透支利率: P+3 % plus prime lending rate 加優惠利率

Security % Limit 抵押比率: 70 %

(Acceptance/Market 可接受貨價)

For Stock Options Trading Account
股票期權交易帳戶

Proposed Position Limit: HK\$ _____ 港元
建議持倉限額

Other Terms 其他條款: _____

For OTC Swap Account
場外掉期帳戶

Proposed Position Limit: HK\$ _____ 港元
建議持倉限額

Other Terms 其他條款: _____

For Commodities Trading Account
期貨交易帳戶

Proposed Position Limit: HK\$ _____ 港元
建議持倉限額

Other Terms 其他條款: _____

For Bullion Trading Account
黃金交易帳戶

Proposed Position Limit: US\$ _____ 美元
建議持倉限額

Other Terms 其他條款: _____

For Leveraged Foreign Exchange Trading Account
槓桿式外匯交易帳戶

Proposed Position Limit: US\$ _____ 美元
建議持倉限額

Other Terms 其他條款: _____

For Global Payment Account - Spot FX
匯款易帳戶 - 現貨外匯

Proposed Position Limit: US\$ _____ 美元
建議持倉限額

For Global Payment Account - Forward FX
匯款易帳戶 - 遠期外匯

Proposed Position Limit: US\$ _____ 美元
建議持倉限額

I have read and fully understood the contents of this Account Application and the Client Agreement and agree to be bound by them. 本人已閱讀並完全明白本開戶申請表及客戶協議之內容，並同意受其等所約束。

I declare that I am not currently employed by any licensed or registered person to carry on regulated activities as defined in the Securities and Futures Ordinance (Cap.571 of the Laws of Hong Kong) (the "Ordinance"). Otherwise, I understand that I am required to provide to SHK Group written consent from my employer before I can open and operate an account with SHK Group. I undertake to promptly notify SHK Group if I become or cease to be employed by any licensed or registered person to carry out regulated activities. 本人聲明本人現時並非受僱於任何持牌人或註冊人以從事《證券及期貨條例》（香港法例第571章）（「條例」）界定的受規管活動。否則，本人明白本人須向新鴻基集團提供本人僱主的書面同意方可於新鴻基集團開立並使用帳戶。本人承諾如本人將受僱或不再受僱於任何持牌人或註冊人以從事受規管活動時，將立即通知新鴻基。

Note: A licensed person means a licensed corporation licensed under the Ordinance. A registered person means a registered institution registered under the Ordinance. 注意：持牌人指根據條例獲發牌照的持牌法團。註冊人指根據條例註冊的註冊機構。

Further, I confirm that the Risk Disclosure Statements, Risk Disclosure Information (if applicable) and US Trader RDS & Info (if applicable), in or accompanying the Client Agreement have been provided in a language of my choice (English or Chinese) and that I have read, understood and accepted the nature and contents thereof. I appreciate that they are not and cannot be taken as a comprehensive or exhaustive list of all possible risks. I confirm that I have been given the opportunity to ask questions and take independent advice if I so wish. 再者，本人確認關於或附隨客戶協議及附件之風險披露聲明及美國交易者風險披露聲明、風險披露資料（若適用）及資料（若適用）已按本人選擇之語言（英文或中文）提供予本人，及本人已閱讀、明白和接受其／其等（若適用）性質和內容。本人明白它們不是而且不能被當作一份完全或徹底列舉所有潛在風險的清單。此外，本人已被給予機會提出問題及徵求獨立的意見（若本人有此意願）。

In case I execute this Account Application not before a SHK Group staff/SHK Group licensed representative, or in case I execute this Account Application in accordance with any non-face to face procedures as may be permitted by the applicable laws and/or regulatory requirements, I confirm that I am aware that (i) SHK Group will contact me via telephone call ("Follow-up Call") to explain to me the Risk Disclosure Statements and, if applicable, Risk Disclosure Information before permitting me to trade under any account to be opened under this Account Application and (ii) if I do not confirm that I fully understand and accept the relevant risks during such Follow-up Call, I can immediately withdraw this Account Application and have this Account Application and supporting documents returned to me.

若本人並非在一名新鴻基集團員工／新鴻基集團持牌代表面前簽署此開戶申請表，或本人在適用法律及／或監管規定允許的情況下根據非親身開戶程序簽署此開戶申請表，本人確認本人知悉(i)在本人獲准在根據此開戶申請表開立的帳戶內進行交易前，新鴻基集團將會電話聯絡本人（「跟進電話」）以解釋風險披露聲明及風險披露資料（若適用）；(ii)若本人在跟進電話中不確認本人完全明白並接受有關的風險，本人可以立刻取消有關申請並取回此開戶申請表及相關證明文件。

For Cash Securities Trading Account(s) and Margin Securities Trading Account(s) Only

只適用於現金證券交易帳戶及孖展證券交易帳戶

I also confirm that the RISKS OF TRADING IN EXCHANGE-TRADED STRUCTURED PRODUCTS (e.g. Derivative Warrants, Callable Bull/Bear Contracts) and RISKS OF TRADING IN SYNTHETIC EXCHANGE TRADED FUNDS contained in the above-mentioned Risk Disclosure Statements have been explained to me and I have understood the contents thereof.

本人確認已獲關於以上風險披露聲明之「買賣交易所買賣之結構性產品及衍生工具（例如：衍生權證、牛熊證）的一些相關風險」及「買賣合成交易所買賣基金的風險」之講解，且本人已明白其內容。

For Online Securities Trading Accounts (US Trader) Only

只適用於網上美國證券交易帳戶（美股易）

(I) In addition, I have received the agreements of the Information Services Provider(s) (as defined in Clause 6 of the Supplement to Sixth Schedule to the Client Agreement of SHKIS) listed below ("ISP Agreements") and have read and fully understood the terms contained therein and agree to be bound by all the terms of the applicable ISP Agreement(s). (II) I have received the US Trader Anti-Money Laundering Undertakings, Representations and Warranties and have read and fully understand, and hereby undertake, represent and warrant to SHKIS in, and agree to, the terms contained therein. (III) I consent that SHKIS may, at my own risk, send my Access Codes (as defined in the Client Agreement of SHKIS) for US Trader to my email address(es) specified in Section A of this Account Application and I understand and accept all the risks associated with the sending of my Access Codes for US Trader to my aforesaid email address(es) (including, without limitation, the risks arising from the unreliable and public nature of the Internet which may cause incorrect information transmission or loss of confidentiality of the information transmitted).

(i)再者，本人已收到以下所列資料服務供應商（定義見新鴻基投資的客戶協議附件六補充文件的條款6）的協議（「資料服務供應商協議」）並已閱讀及完全明白當中所載的條款，並各同意受適用的資料服務供應商協議的所有條款所約束。(ii)本人已收到美股易反洗黑錢承諾、聲明及保證並已閱讀及完全明白當中所載的條款以及謹此就該等條款向新鴻基作出承諾、聲明、陳述及保證，並同意該等條款。(iii)本人同意：在風險由本人獨自承擔下，新鴻基投資可將本人的美股易接達密碼（定義詳於新鴻基投資的客戶協議）送往於本開戶申請表A項所指明的本人電郵地址（一個或多個）處及本人明白及接受所有與將本人的美股易接達密碼送往本人前述的電郵地址處相關之風險（一個或多個）處相關之風險（包括但不限於因互聯網的不可靠及公眾的性質所產生之風險而這些性質可能導致傳輸不正確資料或所傳輸之資料失卻其保密性）。

The ISP Agreements:

資料服務供應商協議：

1. Agreements & Disclosures/Equities Non-Professional Market Data Agreement: 協議及披露／股票非專業市場數據協議：
 - (a) NYSE and Amex Terms and General Applicability of Market Data 紐約證券交易所(NYSE)及美國證券交易所(Amex)的條款及市場數據的普遍適用性
 - (b) OPRA Exchange Agreement – Non Professional Subscriber Application and Agreement: 期權報價管理局交易協議 – 非專業用戶申請及協議 (Last Sale and Quotation Information for Personal Non-business Use Only) (僅供個人非商業用途的最新沽價及報價資料)
2. Dow Jones Indices Terms and Conditions 道瓊斯指數條款及條件
3. Agreements & Disclosures/On-Line Nasdaq Subscriber Agreement 協議及披露／網上納斯達克用戶協議

For OTC Swap Account(s) Only

只適用於場外掉期帳戶

I acknowledge and agree that all transactions carried out in the OTC Swap Account will be subject to the OTC Swap T&Cs (Individuals) and the OTC Swap Account Annex together with the specific terms and conditions as stated in the Confirmation in respect of each specific transaction or other confirming evidence. I confirm that I have read and fully understand the contents of the OTC Swap T&Cs (Individuals), including without limitation the generic risks associated with over-the-counter derivative transactions listed in Second Schedule (Risk Disclosures) thereof, and agree to be bound by them.

本人確認並同意於場外掉期帳戶下開展之所有交易，將受「場外掉期條款及細則（個人）」及「場外掉期帳戶附件」以及確認書所載之關於各項個別交易或其他確認證據之特定條款及細則約束。本人確認已閱讀並完全明白場外掉期條款及細則（個人）之內容，包括但不限於場外掉期條款及細則（個人）的附件2風險披露中列明的場外交易衍生產品相關之風險，並同意受其等所約束。

Use of Personal Data for Direct Marketing**直接推廣中個人資料的使用**

I understand that SHK Group intends to use or transfer my personal data (e.g. name, contact details and age group, etc.) for sending promotional or other materials and direct marketing of financial services, products or goods to members of the SHK Group or entities outside of the SHK Group which are their business partners in financial and related services, for which SHK Group may receive gain. SHK Group cannot do so without my consent. Should I disagree to such use or transfer of my personal data, I would indicate my objection by ticking the box(es) below, and I can change my instructions at any time by providing written notice to SHK Company. If SHK Group receives any conflicting instructions from me regarding the use or transfer of my personal data, the instructions given at the latest date shall prevail.

我明白新鴻基欲使用或轉移本人的個人資料（例如姓名、聯絡資料和年齡組別等）至本集團的成員公司或集團以外提供金融或其他相關服務的公司以作傳送推廣或其他資料及直接促銷金融服務、產品或貨品，而新鴻基可能就此獲取得益，惟新鴻基在未經本人同意時不可使用本人的個人資料。若本人不同意本人的個人資料之使用或轉移，本人將於以下方格中打「✓」以示反對。本人可以隨時透過書面方式，向新鴻基更改指示。倘新鴻基就本人的個人資料的使用收到本人不一致的指示，則以最後日期提供的指示為準。

☒ I object to the use or transfer of my personal data by or to members of the SHK Group for direct marketing
本人反對本人的個人資料被新鴻基集團之成員用作直接促銷或與之有關的集團內部轉移

☒ I object to the use or transfer of my personal data by or to entities outside of the SHK Group for direct marketing
本人反對本人的個人資料被新鴻基集團以外的公司用作直接促銷或與之有關的轉移

Financial services, products or goods include but are not limited to those relating to any type of investment, insurance, foreign exchange, lending or other related areas.

金融服務、產品或貨品包括但不限於任何投資、保險、外匯及借貸或其他相關範圍。

For definitions and details of the SHK Group's personal data policy, please refer to the Personal Data Schedule of the attached Client Agreement(s) or subsequent amendments (if any).

有關新鴻基個人資料政策的定義及詳情，請參閱附隨的客戶協議之個人資料附件或其後修訂（如有）。

Executed as a deed on 簽訂作契約於：

30/09/2014
(Insert date) (填上日期)

Signed, sealed and delivered by 簽署、蓋印及交付：

Applicant's Signature*:
申請人簽署*：

Witness Signature*:
見證人簽署*：

SHK Group staff name and No./SHK Group licensed representative name and CE No.:
新鴻基集團職員姓名及編號/新鴻基集團持牌代表姓名及中央編號：

Lai Sou Cheng

(L.S.)

CL Mak

MAK HO NING A9T64 AYA406

* The signatures shall be recorded as specimen signature for the purpose of the Account and all matters relating to it. 為帳戶及所有其他相關事宜，簽署將被記錄為簽署樣式。
* If the witness is not an SHK Group staff/SHK Group licensed representative, please sign in the Certification below. 如見證人並非新鴻基集團職員/新鴻基集團持牌代表，請簽署以下保證。

CERTIFICATION (to be completed when Account Application not signed before a staff member/licensed representative of SHK Group)

核證（如開戶申請表並非在新鴻基集團的職員/持牌代表面前簽署，請填此欄）

I am a* Justice of the Peace/branch manager of a licensed bank/lawyer/certified public accountant (practising)/notary public/SFC licensed or registered person accredited to the intermediary named below. I hereby certify that on the date above written in this Section F, this Account Application was executed by the Applicant named in this Account Application (who had been previously identified by production of the original of his/her Identity Card or Passport (detailed above) to me) before me and the common seal of the Applicant was affixed to this Account Application in my presence.

本人乃*太平紳士/持牌銀行分行經理/律師/執業會計師/公證人/隸屬以下所指名之中介團體之證監會持牌或註冊人士。本人現證實：於以上在本F項所寫的日期當日，本開戶申請表乃由本開戶申請表所指名的申請人（其身份已根據並向本人出示之身份證或護照（詳見上方）正本作核實）於本人面前簽訂。

* Please delete as appropriate. 請刪去不適用者

Signature of the certifier 證明人簽署

Date 日期

Name of the certifier (please print)
證明人姓名（正楷）

Title (please print)
銜頭（正楷）

CE No. of the certifier (if applicable)
證明人之中央編號（如適用）

Name and CE No. of the intermediary to which the certifier is accredited (if applicable)
證明人所隸屬之中介團體名稱及中央編號（如適用）